



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
2000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-2000

and  
COMMANDANT OF THE MARINE CORPS  
HEADQUARTERS, U. S. MARINE CORPS  
WASHINGTON, DC 20380-0001

IN REPLY REFER TO

OPNAVINST 5530.13B CH-1  
N09N3  
CMC (POS-10)

02 JUN 1998

OPNAV INSTRUCTION 5530.13B CHANGE TRANSMITTAL 1

From: Chief of Naval Operations  
Commandant of the Marine Corps  
To: All Ships and Stations

Subj: DEPARTMENT OF THE NAVY PHYSICAL SECURITY INSTRUCTION FOR  
CONVENTIONAL ARMS, AMMUNITION, AND EXPLOSIVES (AA&E)

Encl: (1) Revised pages REF-1, REF-2, DEF-2, DEF-3, 1-2, 2-3,  
2-4, 3-2, 3-5, 3-6, 3-9, 4-1, 5-1, 6-1 through 6-9,  
7-5, 8-1 through 8-4, 9-1, 11-1, 11-8, F-1, F-2, and  
H-5

1. Purpose. The purpose is to institute within Department of Navy changes to DOD 5100.76-M of September 16, 1992, as well as to add new requirements first issued in CNO message 021621ZAPR98, and to insert corrections, updated titles and addresses, and clarifications as necessary.

2. Action. Remove pages REF-1, REF-2, DEF-2, DEF-3, 1-2, 2-3, 2-4, 3-2, 3-5, 3-6, 3-9, 4-1, 5-1, 6-1 through 6-9, 7-5, 8-1 through 8-4, 9-1, 11-1, 11-8, F-1, F-2, and H-5 and replace with enclosure (1) of this change transmittal.

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Distribution:  
SNDL Parts 1 and 2  
MARCORPS Codes PCN 71000000000  
And 71000000100

DEPARTMENT OF THE NAVY  
Office of the Chief of Naval Operations  
Washington DC 20350-2000  
and  
Headquarters,  
UNITED STATES MARINE CORPS  
Washington DC 20380-1775

CH-1 OF 2  
JUN 1999  
OPNAVINST 5530.13B  
N09N1  
CMC-POS-10  
5 July 1994

**OPNAV INSTRUCTION 5530.13B**

**From:** Chief of Naval Operations  
Commandant of the Marine Corps  
**To:** All Ships and Stations

**Subj:** DEPARTMENT OF THE NAVY  
PHYSICAL SECURITY INSTRUCTION  
FOR CONVENTIONAL ARMS,  
AMMUNITION, AND EXPLOSIVES  
(AA&E)

**Ref:** (a) DOD 5100.76-M of Sep 92, "Physical  
Security of Sensitive Conventional  
Arms, Ammunition, and Explosives"  
(NOTAL)

**Encl:** (1) Department of the Navy Physical  
Security Instruction for Conventional  
Arms, Ammunition, and Explosives  
(AA&E)

**1. Purpose.** To issue policies set forth in reference  
(a) and provide additional Department of the Navy  
(DON) policy and guidance for the protection of  
conventional AA&E against loss or theft.

**2. Cancellation.** OPNAVINST 5530.13A.

**3. Scope.** This instruction applies to all  
conventional AA&E owned by or contracted by DON  
and maintained on a permanent basis.

**4. Discussion.** This instruction is a complete  
revision and must be reviewed in its entirety.  
Conventional AA&E must be protected because of  
its potential for misuse, capability to cause injury,  
and vital role in national defense. Emphasis is placed  
on the commanding officer's responsibility to ensure  
that the command AA&E security posture is accurately  
assessed and resources are appropriate to execute  
security programs.

**5. Responsibilities.** The following command  
responsibilities are established:

**a. Commanding Officers.** Commanding offi-  
cers are responsible for the physical security of AA&E  
within their commands. The security officer/provost  
marshal will be the designated representative of the  
commanding officer, responsible for the planning,  
implementation, enforcement, and supervision of com-  
mand AA&E security.

**b. Echelon 2 and Subordinate Commands.**  
DON Echelon 2 and subordinate commanders are  
responsible for overseeing implementation of this  
instruction by means such as inspections and inventory  
effectiveness reviews to ensure compliance throughout  
their activities.

**c. Chief of Naval Operations (CNO) (N09N).**  
The Special Assistant for Naval Investigative Matters  
and Security (N09N) will oversee management and  
coordination of the AA&E physical security program  
in the Navy, and will:

(1) Develop Navy AA&E physical security  
policy and oversee its implementation.

(2) Advise and assist Navy commanders in  
developing and maintaining effective AA&E security  
programs.

(3) Evaluate adequacy of security provided  
to Navy AA&E and support funding requirements via  
the Baseline Assessment Memorandum (BAM) proc-  
ess.

(4) Ensure that DON AA&E in the custody  
of contractors is protected to the level prescribed here,  
and that contracts properly reflect these requirements.

**d. Commandant of the Marine Corps (CMC)  
(POS-10).** CMC (POS-10) manages the AA&E phys-  
ical security program for the Marine Corps, requesting  
support from the Navy as required. Decisions affect-  
ing the Marine Corps AA&E physical security pro-  
gram will be made by CMC (POS-10) except that  
transportation requirements will be made by CMC  
(LFT).

**0579LD0572250**



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**e. Commander, Naval Sea Systems Command (COMNAVSEASYS COM).** COMNAVSEASYS COM (and as further delegated to Naval Ordnance Center) is assigned as the program manager for the Navy's AA&E physical security and ordnance transportation security programs. Tasks include:

(1) Evaluate the Navy AA&E physical security posture and develop cost effective upgrades.

(2) Except for Electronic Security Systems (ESS), budget and program for all AA&E physical security program funding and provide CNO (N09N1) with Navy-wide resource requirements and related 6-year plans.

(3) Centrally manage, analyze, and maintain Navy statistical data on AA&E physical security matters and monitor AA&E physical security program objectives to ensure compliance with policies and standards.

(4) Assist Navy commands in determining funding, manpower, and other resource requirements necessary to meet AA&E security responsibilities.

(5) Assist Navy and Marine Corps commands by providing technical direction on security related issues.

(6) Implement Navy policy and guidance for ordnance transportation security.

(7) Act as Department of Defense (DOD) executive agent for the joint service Defense Transportation Tracking System (DTTS).

(8) Implement Navy policy and guidance for the Ordnance Inventory Accuracy Management Program.

**f. Commanding Officer, Naval Command, Control and Ocean Surveillance Center, In Service Engineering, East Coast Division (NISE East).** NISE East is the Navy's central point-of-contact on AA&E ESS matters and coordinates with other concerned activities. (Note: CMC (POS-10) will

coordinate the Marine Corps ESS program, requesting assistance as required). Tasks include:

(1) In response to CNO (N09N) tasking, provide management, engineering, and technical support for ESS installations at AA&E sites.

(2) Determine the specific design requirements necessary for implementing CNO criteria and directives for ESS at designated AA&E sites.

(3) Prepare AA&E ESS equipment acquisition, budgeting, integrated logistic support, and installation plans.

(4) Review AA&E ESS documents prepared by other activities and serve as approval authority for ESS designs.

**g. Commander, Naval Facilities Engineering Command (COMNAVFACENCCOM).** COMNAVFACENCCOM provides engineering design and construction criteria including military handbooks, standard construction drawings, and specifications for secure structures including magazines for AA&E facilities.

**h. Commander, Naval Supply System Command (COMNAVSUPSYSCOM).** Based on policy requirements established by NAVORDCEN and higher authority, COMNAVSUPSYSCOM manages AA&E transportation programs including second destination transportation. That responsibility includes physical security improvements and transportation facility modifications necessary to meet the requirements of this instruction.

**i. DON Contracting Activities.** DON contracting activities must:

(1) Ensure that contracts involving Risk Category AA&E at contractor facilities describe the standards of protection required in appendix D of this instruction and ensure by contractual clause access to prime and subcontractor facilities to enable the government to conduct security surveys, inspections, and investigations.

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(2) Provide, at the time of the contract award and at renewal, cognizant Defense Investigative Service (DIS) industrial security offices copies of each AA&E contract or pertinent extracts (contract physical security standards) that involve risk category AA&E. Include a listing of Government Furnished Equipment (GFE) as part of the pertinent extracts.

(3) Notify the cognizant DIS industrial security office when preaward surveys are conducted to allow for their participation in the survey (see appendix D for list of offices and addresses).

(4) Ensure that AA&E shipments to a DON facility from a contractor or subcontractor facility meet the provisions of this instruction.

(5) Ensure that AA&E shipments in connection with DON contracts are shipped between contractors or subcontractors in accordance with this instruction.

(6) Ensure that AA&E is identified by risk category in all applicable prime and subcontracts, to guarantee correct identification and complete understanding by DIS industrial security inspectors, the Administrative Contracting Officer (ACO), and prime and subcontractors concerned.

(7) Advise the cognizant DIS industrial security office of actions taken by contractors, subcontractors, government procuring officers, or government contract administration officers, in response to DIS AA&E inspection deficiencies and recommendations.

**6. Action.** Compliance with this instruction and enclosure (1) is mandatory for all DON personnel concerned with security, storage, and transport of conventional AA&E.

**7. Forms.** DD 1348-1 (DOD Single Line Item Release/Receipt Document) S/N 0102-LF-013-1040 (white), S/N 0102-LF-013-1050 (yellow), S/N 0102-LF-013-1060 (pink); and DD 1907 (Signature and Tally Record) S/N 0102-LF-010-0400 are available through normal Navy supply channels under NAVSUP P-2002. Standard Form 361 (Transportation Discrepancy Report) NSN 7540-00-965-2403 and Standard Form 364 (Report of Discrepancy) NSN 7540-00-159-4442 are available from GSA.

**8. Report.** Symbol DD-C3I (AR) 1358 has been assigned to the reporting requirement contained in

chapter 8, and is approved for 3 years from the date of this directive.

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Distribution:  
SNDL Parts 1 and 2  
MARCORPS Codes PCN 71000000000  
and 71000000100

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Washington DC 20374-5074 (287 copies)

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**OPNAVINST 5530.13B**

**5 July 1994**

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OPNAVINST 5330.13B  
5 JUL 1994

Department of the Navy  
Physical Security Instruction For  
Conventional Arms,  
Ammunition, and Explosives

Enclosure (1)

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REFERENCES

- (a) OPNAVINST 5540.8L, Subj: DOD Industrial Security Program (NOTAL)
- (b) DOD 6055.9-STD, October 1992, Subj: DOD Ammunition and Explosives Safety Standards (authorized by DOD 6055.9, 25 November 1983) (NOTAL)
- (c) OPNAVINST 5510.1H, Subj: DON Information and Personnel Security Program Regulation
- (d) OPNAVINST 5530.14B, Subj: DON Physical Security and Loss Prevention
- (e) MCO 3574.2G, Subj: Marksmanship Training with Individual Small Arms
- (f) SECNAVINST 5500.29B, Subj: Use of Deadly Force and the Carrying of Firearms by Personnel of the Department of the Navy in Conjunction with Law Enforcement, Security Duties and Personal Protection
- (g) MCO 5500.6E, Subj: Arming of Law Enforcement and Security Personnel and the Use of Deadly Force (NOTAL)
- (h) SECNAVINST 5500.4G, Subj: Reporting of Missing, Lost, Stolen or Recovered (MLSR) Government Property
- (i) MCO 4340.1, Subj: Reporting of Missing, Lost, Stolen, and Recovered Government Property
- (j) MIL-HDBK-1013/1, Subj: Military Handbook, Design Guidelines for Physical Security of Fixed Land-Based Facilities (NOTAL)
- (k) NAVSEAINST 4570.1A, Subj: Demilitarization and Disposal of Excess, Surplus, and Foreign Excess Ammunition, Explosives and Other Dangerous Articles (AEDA) and Inert Ordnance Material
- (l) NAVFAC P-73, Volume II, Subj: Natural Resources Management Procedural Manual (NOTAL)
- (m) NAVSEA OP 5, Ammunition and Explosives Ashore (NOTAL)
- (n) NAVSUPINST 4440.115G, Subj: Physical Inventory Program (NOTAL)
- (o) SPCCINST P8010.12D, Subj: Supply Management of Ammunition (NOTAL)
- (p) DOD 7200.10-M, March 1991, Subj: DOD Accounting and Reporting of Government Property Lost, Damaged, or Destroyed (authorized by DOD 7200.10, 16 May 1977) (NOTAL)

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REFERENCES

- (a) (REFERENCE CANCELLED) (D)
- (b) DOD 6055.9-STD, August 1997, Subj: DOD Ammunition and Explosives Safety Standards (authorized by DOD 6055.9, 29 July 1996) (NOTAL) (R)
- (c) SECNAVINST 5510.36, Subj: DON Information Security Program Regulation (R)  
and  
SECNAVINST 5510.30A, Subj: Department of the Navy Personnel Security Program (R)
- (d) OPNAVINST 5530.14C, Subj: Navy Physical Security Manual (R)
- (e) MCO 3574.2H, Subj: Marksmanship Training with Individual Small Arms (R)
- (f) SECNAVINST 5500.29B, Subj: Use of Deadly Force and the Carrying of Firearms by Personnel of the Department of the Navy in Conjunction with Law Enforcement, Security Duties and Personal Protection
- (g) MCO 5500.6F, Subj: Arming of Law Enforcement and Security Personnel and the Use of Deadly Force (NOTAL)
- (h) SECNAVINST 5500.4G, Subj: Reporting of Missing, Lost, Stolen or Recovered (MLSR) Government Property (R)
- (i) MCO 4340.1A, Subj: Reporting of Missing, Lost, Stolen, and Recovered Government Property
- (j) MIL-HDBK-1013/1, Subj: Military Handbook, Design Guidelines for Physical Security of Fixed Land-Based Facilities (NOTAL)
- (k) NAVSEAINST 4570.1A, Subj: Demilitarization and Disposal of Excess, Surplus, and Foreign Excess Ammunition, Explosives and Other Dangerous Articles (AEDA) and Inert Ordnance Material
- (l) NAVFAC P-73, Volume II, Subj: Natural Resources Management Procedural Manual (NOTAL)
- (m) NAVSEA OP 5, Safety Regulations for Handling, Storing, Production, Renovation and Shipping Ammunition and Explosives Ashore (NOTAL) (R)

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- (n) NAVSUPINST 4440.115G, Subj: Physical Inventory Program (NOTAL)
- R) (o) SPCCINST 8010.12D, Subj: Supply Management of Ammunition (NOTAL)
- D) (p) (REFERENCE CANCELLED)
- R) (q) DOD 4160.21-M, August 1997, Subj: Defense Material Disposition Manual (NOTAL)
- R) (r) DOD 4500.9-R, Part II, Subj: Defense Transport Regulation (Cargo Movement) of April 1996 (NOTAL)
- R) (s) DOD 4500.9-R, Part II, Subj: Defense Transport Regulation (Cargo Movement) of April 1996 (NOTAL)
- R) (t) DOD 4000.25-8-M, July 1995, Subj: Military Assistance Program Address Directory System (MAPAD) (NOTAL)
- (u) NAVSEA OP 4, Ammunition Afloat (NOTAL)
- (v) OPNAVINST 3591.1C, Subj: Small Arms Training and Qualification (NOTAL)
- (w) SECNAVINST 5510.29A, Subj: Chemical Agent Security Program (NOTAL)
- R) (x) DOD 5220.22-M, January 1995, Subj: National Industrial Security Program Operating Manual (authorized by DOD 5220.22, 8 December 1980) (NOTAL)

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DEFINITIONS AND ACRONYMS

1. ACCESS. Proximity to AA&E close enough to allow tampering with or damage to that AA&E, especially when such actions could go undetected. Normally, this is different from "supervised access" where an escort or a guard is provided for either the person or the AA&E.
2. AIB (ANTI-INTRUSION BARRIER). An alarmed, stainless steel, boxlike cover installed over a high security padlock and hasp to prevent unauthorized access to that lock and hasp (older versions are an alarmed metal bar across the door). It is held in place by two jackscrews, one of which has an alarm sensor. The sensor detects removal of the cover.
3. AMC (AIRLIFT MOBILITY COMMAND). Previously Military Airlift Command (MAC).
4. AMMUNITION. A device charged with explosives, propellants, pyrotechnics, initiating composition, riot control agents, chemical herbicides, smoke, or flame for use in connection with defense or offense, including demolition. Ammunition includes cartridges, projectiles, bombs, missiles, grenades, mines, pyrotechnics, bullets, shot, primers, propellants, fuzes and detonators.
5. ARMED. A person with a loaded firearm on his or her person, readily available for immediate use.
6. ARMORY. A building or secure space within a building or ship, meeting the criteria of this instruction, where firearms and their parts are stored.
7. ARMS. Weapons (identified in appendix A) that will or are designed to expel projectiles or flame by the action of an explosive, and the frames or receivers of any such weapon.
8. ARMS ROOM. Same as armory.
9. AUTOMATIC WEAPON. Any weapon which automatically shoots more than one shot by a single function of the trigger.
10. CABLE SEAL. A serialized seal in which the cable is put through the locking hardware of a truck or railcar door and the bullet nose is inserted into the barrel end of the cable until securely anchored. Once locked, force exerted to separate the lockpoint from the lockbody strengthens the connection.
11. CL. Carload.
12. CLASS 1 DIVISION .1, .2, .3, .4, .5, and .6 EXPLOSIVES. United Nations and Department of Transportation (DOT)

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classifications based upon the character and predominance of hazards and potential casualties or property damage.

13. COFC (CONTAINER ON A FLAT CAR). A large boxlike demountable body without undercarriage that is mounted on a railroad flat car, used to transport cargo.

14. CONEX (CONTAINER EXPRESS). A reusable shipping container.

15. CONSTANT SURVEILLANCE. Maintaining continuous visibility of an item(s) or area, or of all means of access to the item(s) or area. This may be accomplished directly by personnel, or indirectly through use of cameras or intrusion detection devices.

16. DD (DUAL DRIVER PROTECTIVE SERVICE). A transportation protective service which requires a commercial carrier to use two qualified drivers riding in the cab of the vehicle to maintain constant surveillance of a shipment during transportation, including stops enroute. At least one of the drivers must be awake, not in a sleeper berth, and within 10 feet of the shipment or vehicle, with it in full, unobstructed view at all times. Drivers will have communication equipment to contact law enforcement or other emergency agencies.

17. DEADBOLT LOCK. A solid bolt, not spring loaded, which can extend at least 1 inch from the door into the strike plate of the door jamb. It must be manually turned or pushed (usually horizontally) to lock or unlock. Regularly used to secure doors not used for entry from the outside.

18. DEMILITARIZATION. Irreversibly destroying items (by mutilation, cutting, crushing, melting, burning, alteration, etc.) to prevent their further military or lethal use. Limited or minimum demiliterization renders items unserviceable, but their overall shape or look is retained for use or display. A demilitarization certificate is required as proof, signed by two technically qualified U.S. government officials who witnessed the demiliterization or inspected the residue.

A)

19. DN (DUAL DRIVER PROTECTIVE SERVICE WITH NATIONAL AGENCIES CHECK (NAC)). Same as DD but drivers must have a favorable NAC.

20. DOD CS (DOD CONSTANT SURVEILLANCE SERVICE). Transportation protective service in which a commercial carrier uses a qualified driver to maintain constant surveillance of a shipment during transportation, including stops enroute. For Risk Category AA&E and uncategorized Class A and B ammunition and explosives, drivers will have communication equipment capable of contacting law enforcement or other emergency agencies.

21. DTS (DEFENSE TRANSPORTATION SYSTEM). Military-controlled

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terminal facilities, Airlift Mobility Command (AMC)-controlled airlift, Military Sealift Command-controlled or arranged sealift, and government-controlled air or land transport.

22. EXCEPTION. A written, approved deviation from a specific provision of this instruction; it may be long-term (36 months or longer) or permanent. (See chapter 10).

23. EXPLOSIVES. A chemical compound, mixture, or device, whose purpose is to explode. Includes land mines, demolition charges, and blocks of explosives (dynamite, TNT, C-4, etc.).

24. GBL. Government Bill of Lading.

25. GS-MTX (GREATER SECURITY-MILITARY TRAFFIC EXPEDITING). A seal tracing and inspection rail service for unclassified sensitive cargo which provides:

a. Inspection of rail cars at major terminals by railroad personnel for evidence of forced entry or tampering with seals or security devices;

b. Name of carrier reporting and time of inspection;

c. Arrival and departure times from inspection terminal; and

d. A military traffic expediting service (see "MTX").

26. HIGH SECURITY PADLOCK. A key-operated padlock with a shrouded shackle, conforming to military specification MILP43607 (latest series), or as otherwise listed in appendix G. Designed to resist forced entry for 5 minutes, surreptitious entry for 15.

27. KEYING ALIKE. Installing the same, identical keyway ("pinning combination") on multiple locks so that the same key will open them all. Authorized for low security applications only. Not to be confused with "master keying." (R)

28. LOW SECURITY PADLOCK. A key-operated padlock conforming to established specifications (see appendix G) that provides minimal resistance to forced entry and surreptitious entry. Commonly used as a secondary lock where primary security is provided by another locking device.

29. LTL. Less than a truckload.

30. MAGAZINE. A securable structure or space used to store ammunition and explosives.

31. MASTER KEYING. Keying locks in a set with different keyways ("pinning combinations") so that each lock has a different key, but adding special keying so that all locks in the set can also be opened using one master key. (R)

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32. MEDIUM SECURITY PADLOCK. A key-operated padlock conforming to military specification MIL-P-43951 (latest series). Medium security padlocks offer a high degree of protection against surreptitious entry but only nominal resistance to forced entry.
33. MILITARY TRANSSHIPMENT TERMINAL. A freight handling facility such as a military airport or water port used to transfer cargo from one vessel or vehicle to another for further transport to an ultimate destination.
34. MS (MOTOR SURVEILLANCE SERVICE). A service performed by a commercial carrier which requires a driver of a vehicle transporting a shipment to provide telephonic notification to the consignor, or other designated point of contact, of vehicle location and status at time intervals specified on the GBL.
35. MTX (MILITARY TRAFFIC EXPEDITING) SERVICE. The MTX provides for movement from origin to destination in the shortest time possible for specifically identified rail shipments and is required for firearms and other sensitive shipments. The service uses electrical communication between members of the Association of American Railroads, is available for either single-line haul or joint-line movements, and provides progress reports as required.
36. PSS (PROTECTIVE SECURITY SERVICE). A transportation protective service which requires a commercial carrier cleared under the Defense Industrial Security Program (OPNAVINST 5540.8L, reference (a) refers) to maintain constant surveillance of a shipment during transportation, including stops enroute. Motor carriers will use two qualified drivers riding in the cab of the same vehicle. At least one of the drivers must be awake, not in a sleeper berth, and within 10 feet of the shipment or vehicle, with it in full, unobstructed view at all times. Drivers will have communication equipment capable of contacting law enforcement or other emergency agencies for assistance. Air carriers will use two qualified pilots in the aircraft. Drivers and pilots will maintain the appropriate Signature and Tally Record.
37. QUALIFIED CARRIER DRIVER/PILOT OR REPRESENTATIVE. A commercial carrier or terminal employee, involved in handling DOD shipments under a transportation protective service, who has the following qualifications:
  - a. Designated by the carrier or terminal management to drive a transportation conveyance;
  - b. Aware of the sensitivity of DOD material moving under a transportation protective service. (Carrier employees or representatives will not be informed of a shipment's level of classification.);



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c. Knowledge of the safety, security, and emergency procedures that must be followed;

d. Authorized to move a transportation conveyance and has the means and ability to do so; and

e. When providing Protective Security Service, have carrier-issued identification and be cleared under the Defense Industrial Security Program to handle SECRET shipments.

38. REFUGE LOCATION. A DOD activity that meets statutory requirements for storing SECRET, CONFIDENTIAL, or sensitive material (excluding 1.1, 1.2, and 1.3 - Class A and B - explosives) and that can provide security for such shipments in emergencies.

39. RESPONSE FORCE. Armed security personnel capable of responding to the scene of security alerts involving AA&E.

40. RFI (READY FOR ISSUE) STORAGE. Storage of weapons and ammunition for duty section security guards and response forces so that they are available for immediate use. RFI storage pertains to relatively small numbers of small arms and ammunition positioned for ready access.

41. RG (RAIL ARMED GUARD SURVEILLANCE SERVICE). A transportation protective service that entails 24-hour surveillance by an armed guard of specific AA&E shipments of one or more cars on the same train. Security seals/locks are checked at all stops.

42. RISK CATEGORIES. A division of the most sensitive AA&E into four categories based upon factors such as attractiveness for theft, portability, magnitude of effect of their misuse, etc. They assist in directing the application of security measures commensurate with the gravity of loss.

43. RS (RAIL SURVEILLANCE SERVICE). RS consists of:

a. Inspection within 1 hour after each stop, if the railcar containing the shipment remains at a halt; and

b. Reinspection at least once each hour, as long as the railcar containing the shipment remains at a halt.

44. SAFE HAVEN. Temporary storage and refuge accorded commercial carriers moving government-owned AA&E on Government Bills of Lading (GBL), or Commercial Bills of Lading annotated for conversion to a GBL, when such shipments are in the vicinity of civil unrest, natural disasters, or other emergencies and are precluded from continuing to destination.

45. SEAL. A device used to show if a shipment has been opened. Serially numbered seals are normally referred to as "security

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seals." "Traceable seals" normally refer to a less traceable lead seal crimped with a symbol specified by contract or unique to a government activity.

46. SECURITY FORCES. Personnel assigned to or under the operational control of the security officer/provost marshal to perform law enforcement and/or security duties.

47. SENSITIVE AA&E. Arms, ammunition, and explosives which fall within one of the four risk categories delineated in appendix A.

48. SEVS (SECURITY ESCORT VEHICLE SERVICE). A commercial transportation protective service that provides a separate trail vehicle to maintain discreet surveillance of the vehicle transporting the shipment and provide emergency assistance by contacting appropriate law enforcement agencies when required. Drivers will have communication capable of maintaining two-way contact with the cargo vehicle and of contacting law enforcement or other emergency agencies for assistance.

49. SM (SATELLITE MOTOR SURVEILLANCE SERVICE). A service used in the commercial truck movement of selected DOD material. The purpose of the service is to provide the Defense Transportation Tracking System (DTTS) with truck location reports, in transit status changes, and emergency situation notification. The DTTS is a computer-based system located at the Navy Material Transportation Office (NAVMTTO), Norfolk, VA. It is manned 24 hours a day and used to track the movement of munitions and other related hazardous material by commercial truck within the continental United States.

50. SMALL ARMS. Arms designed to be hand-held or shoulder-braced while being fired.

51. STR (SIGNATURE AND TALLY RECORD). A service designed to provide a continuous custody trail of shipments while in transit. A Signature and Tally Record (e.g., DD 1907 or AC-10) is signed by each person that assumes responsibility for the shipment.

52. TL. Truckload

53. TOFC (TRAILER ON A FLAT CAR). A large boxlike demountable container with a chassis and wheels that is placed on a railroad flat car and used for transporting cargo.

54. TPS (TRANSPORTATION PROTECTIVE SERVICE). A commercial carrier service performed according to DOD standards that provides physical security during transportation of AA&E shipments.

55. WAIVER. Temporary written relief, normally for 1 year, from a requirement of this instruction.

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## CHAPTER 1

PURPOSE AND SCOPE

## 0100 PURPOSE

a. This instruction prescribes standards and criteria for the physical security of conventional Arms, Ammunition, and Explosives (AA&E), including nonnuclear missiles and rockets. It applies to all DON-owned AA&E whether in the custody of DON activities, contractors, or other.

b. The intent of this instruction is to outline standards which will provide adequate protection against loss or theft of AA&E at DON activities and contractor facilities. The threat or characteristics of a particular region may necessitate supplementary measures. This instruction does not authorize methods or operations inconsistent with the explosive safety standards of DOD 6055.9-STD (reference (b)).

## 0101 SCOPE

a. This instruction amplifies conventional AA&E security directives of higher authority and applies to all DON components having responsibility for AA&E. Whenever there are differences between this instruction and other approved directives, the more stringent standards will apply. Report such conflict to CNO (N09N1) or CMC (POS-10), as appropriate.

b. This instruction covers conventional arms, ammunition, and explosives as defined in the definitions section.

(1) Arms generally include individually operated weapons that are portable or can be fired without special mounts or firing devices and are vulnerable to theft. Comparable foreign arms, U. S. prototyped arms, and illegally manufactured weapons retained in the DON inventory are also included.

(2) Ammunition is specified in appendix A (see stock list of Navy ammunition TW010-AA-ORD-010 (formerly OD 12067) NAVAIR 11-1-116A). Ammunition excluded from the requirements of this instruction are:

(a) Nuclear weapons;

(b) Devices charged with chemical agents, except for those specified in appendix A; and

(c) Blank, .22 caliber, and inert training ammunition.

(3) Categorized explosives as specified in appendix A. Also uncategorized Class A and B explosives when being transported (see chapter 7) or stored (see chapter 9).

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c. The criteria in this instruction are intended for sites where AA&E is maintained on a permanent basis during daily peacetime conditions, not for contingency sites or operations such as wartime, force generations, exercises, or operational readiness inspections. For sites and operations not specifically covered in this instruction, commands will establish, when operationally and environmentally feasible, procedures to protect AA&E consistent with the intent of this instruction.

- A) d. Security criteria in this instruction do not apply to procurements of commercially available Risk Category III and IV AA&E while at a commercial production facility. However, once such items are placed in transit to a DoD activity, all pertinent requirements of chapter 7 apply.

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## CHAPTER 2

GENERAL POLICIES

## 0200 GENERAL

a. Individuals issued or in possession of AA&E are responsible for its security.

b. To minimize the cost of physical security and inventory control, and to reduce theft vulnerability, the quantity of AA&E and the number of AA&E storage facilities should be reduced. Storage should be consolidated in as compact an area possible consistent with operational, explosive, safety, and training requirements.

(1) AA&E should be removed from secure storage areas for as brief a time as possible and in as small a quantity as practical.

(2) Segregate AA&E into smaller storage areas by assigned risk category and provide the level of physical security protection appropriate for that category. Give priority attention to demilitarization or disposal of obsolete and unserviceable AA&E to avoid unnecessary storage, security, and inventory costs.

(3) The provisions of this instruction are intended to provide adequate storage security for AA&E at most DON activities. There may be a few unusual activities, such as large depots or remote storage areas without existing electrical service, where not all criteria in this instruction can be applied in a cost-effective manner. At unique facilities, local conditions must be carefully evaluated, and the security system tailored to local conditions, based on practicality and cost rather than the specific security requirements prescribed here. In such instances, waivers or exceptions should be obtained (see chapter 10).

c. Facilities will not be torn down and rebuilt unless security measures cannot be improved to provide the required degree of protection. Exceptions allowing nonstandard conditions will be granted as set forth in chapter 10. The design goal for structurally secure facilities is to provide at least 10 minutes resistance to forced entry.

## 0201 PRIORITY

a. DON priority for meeting security requirements will begin with the highest Risk Category I items and progress consecutively down through Risk Category IV. Within each category, facilities having the largest quantity will receive initial attention.

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b. Based on current threat and vulnerability, DON sites outside the continental U.S. (OCONUS) will receive priority over CONUS sites.

c. Deviations from these priorities will be permitted only when CNO (N09N1) or CMC (POS-10), as appropriate, have determined that a local threat dictates the deviations.

0202 INSPECTIONS AND AUDITS. Security measures, including theft or loss reporting and inventory and accountability procedures for AA&E, will be examined during appropriate inspections and audits. The status of existing waivers and exceptions will be examined for compliance and continuing necessity.

0203 ROTC/GUN CLUB PROHIBITION. Reserve Officers Training Corps (ROTC/JROTC) units and gun clubs are not authorized possession of any Category I or Category II AA&E. ROTC units may use Category II AA&E during authorized training with active DON components. Reserve units will not be permitted to store Category I AA&E. However, those units may be given temporary custody of Category I AA&E for training on military installations following specific security instructions provided by the commander of the installation.

0204 TRAINING IN ACCOUNTABILITY. Activities possessing AA&E must establish a training program for personnel responsible for the accountability of AA&E items. The program will provide training in inventory and accountability procedures, fit the requirements of different groups of personnel responsible for accountability, and include disciplinary actions against individuals responsible for violating security requirements prescribed in this instruction. Activities will take continuing action through refresher briefings to ensure that all personnel are aware of their responsibilities for controlling and safeguarding AA&E.

0205 DISCIPLINARY ACTION. Under the requirements of applicable laws and regulations, appropriate action will be taken with respect to the responsible individuals for violation of procedures and requirements imposed under this instruction. Such action may include trial by court-martial.

0206 PERSONNEL. Activities must be selective in assigning personnel to duties involving control of AA&E. Only personnel who are mature, stable, and have shown a willingness and capability to perform assigned tasks in a dependable manner will be assigned to duties involving the responsibility for control, accountability, and shipment of AA&E. As a minimum, the security officer, AA&E accountability officer, weapons officer, or other designated officer or civilian will examine service records of those being screened and discuss the duties to be assigned with the person and/or the person's present supervisor. Enter dates of screening, rescreening, and associated interviews in the person's training record and maintain for at least 6 months after

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termination of the person's assignment, or at least 6 months after the final interview if the person is disqualified during the screening/rescreening. Determination of which traits and actions are disqualifying is at the discretion of the commanding officer (some of the adjudication factors in Exhibit G of SECNAVINST 5510.30A (reference (c)) may be used as a guide).

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b. After initial favorable screening, rescreen personnel annually. At each screening read the following statement to the person being screened and have him/her sign a copy of this statement:

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"I understand that my behavior on duty as well as off duty is expected to reflect mature, stable judgement and that I may be removed from my duties involving control of arms, ammunition and explosives, or other administrative action taken, if my behavior does not reflect high standards. I further understand that serious harm can come from my failure to properly carry out my duties. I am aware that my improper actions or failure to carry out my duties may result in criminal prosecution, fines, and imprisonment. I understand and accept the responsibility to safeguard arms, ammunition and/or explosives."

(A)

c. Marine Corps units will use the AA&E screening form (NAVMC 11386) for initial and annual screening. Screening will be documented with a page 11 entry, and supporting documentation maintained in command records. For personnel that do not meet screening requirements, commanders will notify CMC (MMEA/MMOA) to request retraining or reassignment.

d. Any person, whether government employee (civilian and military) or contractor (including commercial carrier), operating a vehicle or providing security to a vehicle transporting Category I, II, or CONFIDENTIAL AA&E will as a minimum have been subjected to a favorable National Agency Check or Entrance National Agency Check, as set forth in reference (c), except as provided for U.S. flag carriers below.

e. Officers of U. S. flag carriers will be licensed in accordance with U. S. Coast Guard requirements.

f. Designated carrier employees providing Protective Security Service for the transportation of items classified SECRET must possess a government-issued SECRET clearance, as provided for in reference (c), and carrier-issued identification.

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0207 NON-GOVERNMENT AA&E

a. Storage of personal weapons on an installation will be authorized by the commanding general/commanding officer or designated representative. Non-government AA&E not approved for storage in family housing will be stored in an armory or magazine, but not in the same security container or weapons rack with government AA&E.

R) b. Commanding officers will maintain accountability records for non-government AA&E separately from government AA&E records. Procedures covering the control and accountability of personal weapons will follow OPNAVINST 5530.14C (reference (d)).

c. Loss of non-government AA&E will be reported to the Naval Criminal Investigative Service (NCIS).

d. The waiver and exception provisions of this instruction do not apply to non-government AA&E, and Missing, Lost, Stolen, and Recovered (MLSR) reports will not be submitted.

0208 CLASSIFIED AA&E

R) a. Classified AA&E must be protected as directed by this instruction and SECNAVINST 5510.36 (reference (c)). Where requirements differ, follow the more stringent requirement.

b. A GSA-approved Class 5 vault door or a door as described in chapter 4 and secured with a high security hasp and padlock will be used on structures housing classified AA&E. AA&E classified SECRET or CONFIDENTIAL will receive protection equivalent to that provided for Risk Categories II and III respectively (or higher if required by the assigned risk category).



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## CHAPTER 3

ALL RISK CATEGORY AA&E

0300 GENERAL. This chapter prescribes protection standards which apply to arms as well as to ammunition and explosives. Chapters 4 and 5 further prescribe standards which apply particularly to each of these two groupings.

## 0301 PLANNING

a. Plan the most effective use of security resources and compliance with reference (d). Tailor planning to local security needs. Consider:

- (1) Threat assessment furnished by local NCIS office;
- (2) Types of AA&E maintained;
- (3) Location, size, and vulnerability of storage facilities;
- (4) Vulnerability of AA&E to theft or loss, including theft by employees;
- (5) Geographic location;
- (6) Availability and responsiveness of a security force; and
- (7) Availability or existence of security aids such as perimeter barriers, security lighting, communications, key and lock controls, structurally secure storage buildings, personnel and vehicular entry control, administrative inspections at entry/exit points, security training programs, Intrusion Detection Systems (IDS), and Closed Circuit Television (CCTV).

b. Prepare contingency plans which provide for increased physical security measures for AA&E storage areas during periods of special vulnerability such as natural disasters, natural emergencies, or periods of increased terrorist or criminal threat.

c. Coordinate with adjacent installations or units; federal, state, and local agencies; and similar host country agencies to exchange intelligence, information on security measures being employed, contingency plans, and any other information to enhance local security.

d. Note that barriers and locks are merely delay devices, and will not prevent unauthorized entry unless supported by means to detect and quickly react to an attempted intrusion. The

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security force must be alerted to attempted intrusions as early as possible and should be capable of responding before access to the AA&E has been gained.

e. Store AA&E in inner areas of an installation. This may require inventory, segregation, and restowage by risk categories. Security protection requirements must be based on the highest category of AA&E present.

#### 0302 INTRUSION DETECTION SYSTEMS

a. Before acquiring any electronic security system the appropriate command listed below must approve the proposed project.

For Navy sites:

Chief of Naval Operations (N09N3)  
716 Sicard Street SE  
Washington, DC 20388-5380

For Marine Corps sites:

Commandant of the Marine Corps  
Headquarters, U.S. Marine Corps  
(POS-10)  
2 Navy Annex  
Washington, DC 20380-1775

b. Site approval must be obtained as detailed in NAVFACINST 11010.44E, Shore Facilities Planning Manual (NOTAL).

R) c. Normally, approval is accomplished through base electronics system engineering plans (BESEPs) developed by Space and Naval Systems Command (SPAWAR), Charleston and submitted to the authority listed above. SPAWAR will coordinate purchase and installation of IDS for AA&E sites, ensuring:

(1) The system meets technical specifications for electronic systems at Navy and Marine Corps units ashore and afloat;

(2) Sufficient spare parts to support routine maintenance and repair of the proposed system are readily available either commercially or in the federal supply system;

(3) Adequate technical documentation is available to support system troubleshooting, maintenance, modification, and operation; and

(4) Preventive maintenance system servicing schedules are provided to the responsible command.

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d. IDS must include an alarm control center where alarms annunciate and from which a response force can be dispatched (local alarms - alarm bells located only at the protected location - are not acceptable).

e. Where an IDS is used in civilian communities (e.g., reserve centers) arrangements must be made to connect alarms to civil police headquarters, private security companies, or a central station monitoring service from which immediate response can be directed in case of unauthorized entry.

f. A daily log will be maintained of all alarms, including the nature of the alarm (e.g., intrusion system failure or nuisance alarm) the date and time the alarm was received, location, and response made. Logs must be maintained for a minimum of 90 days and will be reviewed to identify and correct IDS reliability problems.

g. Sensors, signal transmission wire, and related equipment must be protected from tampering. This protection may be provided by the sensors themselves, electronic line supervision, and equipment boxes with tamper alarms. Electronic line supervision will entail a polling or multiplexing system or equivalent which will detect cutting, shorting, tampering, splicing, or substitution of signal. Visible transmission lines must be inspected periodically. If line supervision is unavailable, then two independent means of alarm signal transmission to the monitoring location must be provided.

h. The command must ensure trustworthy personnel are used to install, inspect, and maintain IDS and that access to schematics which show types and locations of key components of IDS systems is restricted.

i. IDS may be maintained by military, civil service, or contractor personnel, including personnel employed by the IDS vendor. Maintenance personnel should not be given unescorted entry to AA&E spaces unless they have been screened in accordance with paragraph 0206 of this instruction.

j. A protected, backup, independent power source of at least 4 hours minimum duration will be provided.

k. To provide for controlled entry by authorized personnel, telephone communication between an alarm control center and alarmed zones should be considered as an adjunct to the IDS.

l. NISE East develops installation, calibration, and maintenance specifications. IDS systems will be tested upon installation and quarterly thereafter by base/station personnel.

(1) Tests should include "walk" testing of each volumetric sensor as well as testing point sensors and duress switches. Keep records of IDS tests for 1 year; they must

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contain the dates of the tests, names of persons performing the tests, results, and any action taken to correct malfunctions or deficiencies. IDS testing must include temporary interruption of AC power to ensure proper automatic transfer to backup battery power, correct functioning on battery power, audible and visual annunciation of the transfer, and correct transfer back to AC power.

(2) Perform periodic unannounced openings of facilities to set off an alarm so that alarm monitor and response force reactions and procedures can be exercised and evaluated. Frequency and procedures of tests are at the discretion of the security officer.

m. An Anti-Intrusion Barrier (AIB) will be installed as an IDS component on all Risk Category I and II ammunition and explosives storage facility active doors equipped with high security padlocks and hasps. An AIB should also be installed on armory active doors if the AIB is compatible with the door and locking system. Installation of AIBs for Marine Corps armories and magazines will be approved by CMC (POS-10).

n. Military, civil service, or contractor personnel may be assigned as central control station alarm monitors. They may be armed at the discretion of the commanding officer, except for Marine Corps monitoring personnel, who must be armed.

0303 SECURITY FORCES. Surveillance by guards or other personnel must ensure protection in conjunction with other physical security measures.

a. Entry and exit points into magazines and holding areas where vehicles, rail cars, or aircraft with missiles, rockets, ammunition, or explosives are parked must be controlled by guards or working party personnel. When working party personnel are not present or IDS or Closed Circuit Television (CCTV) are not used, security patrols must physically inspect each aircraft, rail car, or vehicle at a frequency based on the highest risk category of AA&E present and the threat (see appendix F).

b. A security guard or patrol will periodically check facilities and areas storing AA&E, as prescribed in this chapter and appendix F. Checks will be increased if dictated by threat and vulnerability analysis. Conduct checks on an irregular basis to avoid establishing a predictable pattern.

c. Inspections and guard checks will be increased during hours of darkness, weekends, and holidays to provide deterrence and early detection of loss.

d. Guard checks will be recorded and will consist of a physical check of the facility, including all doors and windows. Locks will be physically checked and attempts made to open doors. Maintain records of the checks for at least 90 days.

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e. There will be written guard procedures and they will be reviewed at least semiannually and revised as necessary to emphasize intelligent placement of guard posts at AA&E storage areas and orientation of guards concerning their duties.

f. Security patrols may be conducted by military, civil service, or contractor personnel, U.S. Marshall's Service, state, local, or campus law enforcement authorities as appropriate.

g. An armed response force will be capable of responding within 15 minutes of an alarm to AA&E storage areas to prevent penetration. Personnel patrolling Reserve Officer Training Corps or Naval Reserve units need not be armed if they have means to immediately summon assistance.

h. Procedures covering emergencies, command notification requirements, and routine patrol requirements will be kept at security posts. Review them monthly and update as necessary.

i. Drill and evaluate the security force in their response to threats to AA&E storage areas at least semiannually. Record the date, time, and results of security force drills, including deficiencies and corrective action taken, and maintain for at least 1 year.

j. The security force will be trained and qualified as delineated in reference (d) or MCO 3574.2H (reference (e)), as applicable, with the small arms they carry. Such training will be documented in each person's training record. Further, they will know response priorities by structure for key areas and critical AA&E.

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k. The security force will be trained in the use of deadly force under SECNAVINST 5500.29A (Use of Force by Personnel Engaged in Law Enforcement and Security Duties, reference (f)) or MCO 5500.6F, reference (g), as applicable. A statement acknowledging receipt of such training will be signed by each security force member and filed in each person's training record.

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l. Essential security and duty personnel will have a duress system to call for assistance. Use code words or gestures with common language or motions and change frequently to preclude discovery.

m. Duty supervisors will periodically inspect all security posts, spaces, and patrols.

n. Security force personnel will be trained in surveillance techniques, response techniques, communication, effective patrolling, and performance of security checks. All training and qualifications will be documented in personnel training records.

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o. Before persons are assigned AA&E security-related duties, whether full time or collateral, they will be screened as delineated in the PERSONNEL paragraph in chapter 2.

p. Security forces will be provided with two-way radio communication as well as a back-up means of communication.

0304 SECURITY LIGHTING. Security lighting sufficient to allow observation of people (nominally 0.2 foot candles) will be provided at exterior doors of all storage rooms and structures containing arms or Category I or II A&E. Emergency lighting and standby power are not required, but should be considered when threat and vulnerability warrant. Light switches must not be accessible to unauthorized persons.

0305 READY FOR ISSUE (RFI) AA&E STORAGE. Arms and ammunition may be stored together only for security personnel or response personnel (the minimum necessary for the mission). Security force RFI AA&E storage areas are not required to have a high security locking device, an AIB, or meet construction standards provided the following conditions are met:

a. Armed guards or watchstanders with communication equipment to summon assistance are within sight of the area(s) at all times;

b. The guard or watchstanders' other duties, such as monitoring alarms, must not interfere;

c. Storage areas are inventoried at each change of watch or whenever the container is opened; and

d. Access to the area is limited.

#### 0306 LOCKS

A) a. Entry doors to armories and magazines must be secured with high security locking devices (see appendix G). Interior doorways may use GSA-approved Class 5 or 8 vault doors. Keyed-alike locks may be used on rifle racks if the armory and the rifle racks meet the requirements of chapter 4.

b. Facilities in which aircraft or vehicles are stored with ammunition aboard will be secured with a high security lock, or equivalent compensatory measures must be applied.

c. Doors not normally used for entry must be secured from the inside with locking bars, dead bolts, or padlocks. Panic hardware, when required, will be installed so as to prevent opening the door by drilling a hole and/or fishing from the outside. Panic hardware must meet safety, fire, and building codes and be approved by the Underwriters Laboratory or, when applicable, meet host country requirements.

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d. Padlocks must be locked to the staple or hasp to preclude theft, loss, or substitution of the lock when an area or container is open.

e. Naval Surface Warfare Center Division (NAVSURFWARCENDIV), Crane, IN will issue, repair, and replace cylinders, locks, and keys for high and medium security locks. Damaged or malfunctioning locks and requests for cylinder and key replacement will be sent by registered mail to Commanding Officer, Naval Surface Warfare Center Division, Crane, Indiana 47522-5010 (Code 3025).

f. Replacement or reserve locks, cores, and keys must be secured to preclude accessibility to unauthorized individuals.

g. Locks and/or lock cores should be rotated annually to allow preventive maintenance.

h. The S&G model 6804 and LaGard model 2233 changeable key-operated lock are authorized for use on response/security force lockers.

i. Approved cable seal locks are one-time use, serialized, throwaway locks which meet the federal specification listed below. Seals referred to in this instruction must be serially numbered, tamperproof, and safeguarded when stored. The serial number of a seal will be shown on the GBL. Cable seal locks are authorized in lieu of padlocks for use on railcars, trucks, trailers, crates, and other shipping containers wherever "locked and sealed" security is specified. Cable seal locks provide both the "lock" and the "seal," therefore no additional locks are required. Several cable seal locks meet the federal specification; four are presented below. Further information may be obtained on the locks from: Brammall, Inc., P.O. Box 208, Angola, IN 46703 (telephone 800-348-4777); or E.J. Brooks Company, P.O. Box 7070, 164 North 13th Street, Newark, NJ 07101 (telephone 800-458-7325).

Meeting Federal Specification FF-S-2738, 12 May 90:

- . E.J. Brooks Rod-Loc (NSN 5340-00-084-1570)
- . Brammal Cone-Loc
  - Complete assembly, part no. 153-121
  - Flag wire only, part no. 153-117
  - Cone locking body only, part no. 153-116
- . 12" Brammall Cable Loc Seal, part no. 137-101
- . 14" Brammall Cable Loc Seal, part no. 137-102

j. The Naval Facilities Engineering Services Center (NFESC) is the DOD Locks, Safes, Vaults, Seals, and Containers Program Technical Manager. Questions about any of these items may be directed to NFESC, ESC 66, Port Hueneme, CA 93043-1212. Telephone is DSN 551-1212/commercial (805) 982-1212.

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0307 KEYS

a. Appoint in writing a key and lock custodian whose duties include assuring proper custody and handling of AA&E keys and locks. He/she may have responsibility for all locks and keys or just those to AA&E spaces.

b. Keys will not be left unattended or unsecured at any time. When not attended or in use - that is, in the physical possession of authorized personnel - keys will be secured in containers which provide protection commensurate with that for the materials to which the keys allow access. Protection will be at least that required for storage of confidential information as set forth in reference (c). To that end, keys to Category I and II AA&E will be stored in a Class 5 General Services Administration (GSA)-approved security container or equivalent. Keys to Category III and IV AA&E will be secured in at least a locker constructed of 20-gauge steel, located inside a secure area, and secured with a GSA-approved, changeable combination padlock (FF-P-110).

c. Maintain keys to AA&E and IDS(s) separately from other keys and accessible only to those individuals whose official duties require access to them. Keep a current roster of those individuals within the unit or activity, protected from public view.

d. Master keying of locks protecting AA&E spaces is prohibited.

e. When arms and ammunition are stored near one another, keys to those storage areas may be maintained together. Keep the number of keys to a minimum.

f. For afloat commands, keys to ammunition and explosives spaces must be kept on separate welded or brazed rings from rings with keys to weapons storage spaces. The purpose is to prevent theft or loss of one key ring which could provide access to both weapons and ammunition. RFI AA&E lockers for response forces are exempt from this requirement.

g. In the event of lost, misplaced, or stolen keys, the affected locks or cores to locks must be replaced immediately. Secure replacement or reserve locks, cylinders, and keys to prevent unauthorized access to them.

h. Inventory keys and locks semiannually and retain inventory records for 1 year.

i. Maintain a key control register to ensure continuous administrative accountability for keys. Such registers will contain the signature of the individual receiving the key, date and hour of issuance, serial number or other identifying information of the key, signature of the person issuing the key,



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date and hour key was returned, and the signature of the individual receiving the returned key. Retain completed registers for at least 18 months after the last entry.

j. When individuals, such as duty officers, are charged with the responsibility for safeguarding or otherwise having keys immediately available, they may sign for a sealed container of keys when the unbroken seal is evidence that the keys have not been disturbed. In afloat commands, they may sign for key rings as long as the weld has not been broken; however, the number of keys on the ring must be verified.

k. Keys to armories, racks, containers, or magazines may not be removed from the installation or ship except to provide for protected storage elsewhere. Unauthorized possession of keys, key blanks, keyways, or locks adopted by a DoD component to protect AA&E is a criminal offense punishable by fine or imprisonment of up to 10 years or both (United States Code, Section 1386 of Title 10).

0308 RESTRICTED AREA POSTING. Areas where Risk Category AA&E are stored must be designated and posted as restricted areas. See reference (d) for more specifics.

0309 SECURITY SURVEYS. Activities will conduct AA&E security surveys every 12 months (6 months for ships) and maintain records of the 3 most recent surveys for review during assistance visits, command inspections and Explosive Safety Inspections. As a minimum, the survey will include:

(A)

a. Reviewing status of any corrective action taken on security deficiencies noted during previous surveys, assistance visits, or command inspections;

b. Reviewing guard orders, security force procedures, and AA&E security regulations to ensure all changes have been entered and documents are current;

c. Ensuring waivers and exceptions for AA&E security have been requested where appropriate, and copies of approved current waivers and exceptions are on file;

d. Ensuring Missing, Lost, Stolen, and Recovered (MLSR) AA&E has been reported following this instruction and SECNAVINST 5500.4G or MCO 4340.1A (references (h) or (i)), as applicable;

(R)

e. Comparing a random selection of AA&E inventory records with the designated magazine storage locations of those items; and

f. Comparing a random selection of AA&E items with the listed inventory quantities.

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## CHAPTER 4

ARMS

0400 GENERAL. This chapter, with chapter 3, prescribes criteria and standards for protecting DON arms. Category I missiles and rockets are covered in chapter 5 with ammunition and explosives.

## 0401 STORAGE FACILITIES

a. Structures. Armories must be built to the construction standards of MIL-HBK 1013/1A (reference (j)). Also acceptable are modular vaults meeting Federal Specification AA-V-2737, and portable explosives magazines as specified in Naval Facilities Engineering Service Center Technical Data Sheet 82-12. Existing facilities may continue to be used if they provide 10 minutes of forced entry delay (use reference (j) to meet this design goal).

(D)

(A)

(A)

b. Doors. Doors will be constructed of 1 3/4-inch thick solid or laminated wood with a 12-gauge steel plate on the outside face, or of standard 1 3/4-inch thick, hollow metal, industrial-type construction with minimum 14-gauge skin plate thickness, internally reinforced vertically with continuous steel stiffeners spaced 6 inches maximum on center. Large doors for vehicle access to large bays will be hardened per reference (j).

(D)

(1) Door bucks, frames, and keepers will be rigidly anchored and provided with antispread space filler reinforcement to prevent disengagement of the lock bolt by prying or jacking the door frame. Frames and locks for doors will be designed and installed to prevent sufficient removal of the frame facing or the built-in locking mechanism to allow disengagement of the lock bolt from outside.

(2) Door frame and threshold construction will be as exacting as the doors themselves. For example, where metal doors are used, the frame and thresholds must also be metal.

(3) Door hinges will be strong enough to withstand constant use and the weight of the doors. They will be located on the inside where possible and will be of the fixed pin security hinge type or equivalent.

(4) Exterior doors with exposed hinges (usually out-swinging) will be provided with at least two supplemental brackets, pins, or other devices to prevent opening the door by destroying the hinge or removing the hinge pin. Such devices must be of sufficient positive engagement and resistance to shearing force to prevent opening the door from the hinge side.

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c. Windows and Other Openings. Windows, ducts, vents, or similar openings of 96 square inches or more with the least dimension greater than 6 inches will be sealed with material comparable to that forming the adjacent walls (use reference (j) for guidance). Weapon issue points will not exceed 190 square inches when opened and when not in use will be secured with material comparable to that forming the adjacent walls.

d. Safes, Arms Racks, and Storage Containers. Arms in an armory will be stored in banded crates, standard or locally made arms racks, or a Class 5 GSA-approved container.

(1) Arms racks will be locked with low security padlocks (see appendix G). In facilities that are not continuously manned, rifle racks and containers weighing less than 500 pounds, with weapons, will be fastened to the structure (or fastened together in groups totaling more than 500 pounds) with chains equipped with low security padlocks or with bolts. Bolts must be spot welded, peened, or otherwise secured. Chains will be heavy duty hardened steel or welded, straight link, galvanized steel, of at least 5/16-inch thickness, or equivalent. An example of an equivalent chain is type 1, grade C, class 4, NSN 4010-00-149-5583, NSN 4010-00-149-5575, or NSN 4010-00-171-4427.

(2) Hinged locking bars for racks will have the hinge pins welded or otherwise secured to prevent easy removal. All racks must be constructed to prevent removal of a weapon by disassembly.

(3) When weapons are in transit, stored in depots or warehouses, or held for contingencies, crates or containers will be fastened together in groups totaling at least 500 pounds and banded or locked and sealed.

e. IDS. Facilities where arms are stored must be provided with an IDS unless they are continuously manned or under constant surveillance (see chapter 3 and appendix F). IDS will include point sensors on all doors and other man-passable openings, and area (or volumetric) sensors covering the interior.

f. Security Lighting and Locks and Keys are covered in chapter 3. Security patrols are covered in chapter 3 and appendix F.

g. Facilities Located Outside a Military Installation. Bolts of Risk Category II arms must be removed and secured in a separate building or separate Class V container under any of the following conditions:

- (1) Facility does not meet structural criteria;
- (2) Increased threat conditions;
- (3) Inoperative IDS;

(4) During periods of annual field training if arms are left in the facility; or

(5) At the decision of the commander having direct security responsibility for the facility.

Note: Bolts so removed will be tagged with the weapon's serial number to ensure return to the same weapon. Etching of weapon's serial number on the removed parts is prohibited.

#### 0402 CONSTRUCTION EXEMPTIONS

a. Containers. On a military installation, small numbers of arms may be stored in a Class 5 security container or weapons locker with a GR 1 combination lock providing forced entry protection as approved by GSA (Federal Specification AA-F-363 (latest series)). The container must be under continuous surveillance or protected by an IDS, including volumetric sensor, and the facility checked by a security patrol at least once every 24 hours. Containers weighing under 500 pounds must be secured to the structure.

b. Existing Facilities on a Military Installation. Existing substandard facilities (those used continuously as an armory from before 18 December 1981) located on a military installation may continue to be used if determined to be adequate by CNO (N09N1) or CMC (POS-10). This instruction's requirements for arms racks, storage containers, security lighting, IDS, and keys and locks must be met. During nonduty hours facilities must be checked by a security patrol at irregular intervals not exceeding 8 hours.

c. Ready-For-Issue (RFI). RFI storage of arms with ammunition must meet the requirements of the RFI paragraph in chapter 3. Other exemptions may be granted by CNO (N09N1) or CMC (POS-10), as applicable.

0403 STORAGE IN NAVAL VEHICLES, AIRCRAFT, AND SMALL CRAFT. When operational readiness is impeded by storage of arms in armories, arms may be stored in the small craft, vehicle, or aircraft to which assigned, or in other configurations within the security philosophy set forth herein and by the activity concerned. Security may consist of armed guards at entry/exit points, a roving patrol inside a holding area, or coverage by CCTV systems. When arms are an integral part of or permanently mounted and are not man-portable or easily removed, then normal security procedures for the small craft, vehicle, or aircraft will apply.

0404 ARMS PARTS. Major arms parts such as barrels and major subassemblies will be protected at least the same as Category IV arms. The frame or receiver of an arm constitutes a weapon and such parts must be stored according to the appropriate category (for example, the receiver of a .30 caliber machine gun must be stored as a Category II arm).

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0405 ACCESS CONTROL. Unaccompanied access to arms storage spaces will be limited to those personnel needed for associated operations. Those persons must be designated in writing by the commanding officer only after a favorable National Agencies Check or Entrance National Agency Check is completed. Visitors will be approved by the commanding officer or his/her designated representative, escorted, and their entry logged.

0406 CUSTODY RECEIPT FOR SMALL ARMS. Individuals receiving subcustody of small arms, including man-portable hand-launched missile systems in ready-to-fire configuration - or easily made ready to fire - must obtain authorization from the commanding officer or his/her designated representative and sign a custody receipt listing serial number and type of item(s) received. If the receiver is unable to provide adequate physical security as outlined in this chapter, he/she may check out small arms and related ammunition only as an immediate need exists and must return them to the original responsible activity (Marine Corps personnel will be qualified by either reference (g) or MCO 3574.2G).

0407 NAVY AND MARINE CORPS RESALE FACILITIES AND EXCHANGES. Minimum standards for Exchange Resale Facilities are:

- a. Store AA&E per this instruction.
- b. Use only empty ammunition boxes for display.
- c. Keep arms in display racks that are locked with low security locking devices (see appendix G) and kept under constant visual surveillance during open hours. Display only one model of each type of arm. Move all arms from sales areas to an armory after open hours.
- d. Take a 100 percent count daily and a 100 percent inventory by serial number weekly. Retain inventory records for 2 years.
- e. Comply with federal legislation, state laws, and local ordinances. Prominently display state laws and local ordinances next to where sales take place.

0408 NAVY AND MARINE CORPS MUSEUMS. At Navy and Marine Corps museums, AA&E not certified as demilitarized under NAVSEAINST 4570.1A (reference (k)) (see also chapter 6) will be safeguarded in accordance with this instruction. No museum AA&E item will be permanently altered by welding, cutting, or any other means without the written approval of CNO (N09BH) or CMC (HDM), as appropriate. Historically significant items must be protected without damaging the educational, training, or aesthetic value of the item itself.

- a. Storage. Arms must be properly secured in an armory (see chapter 4). Ammunition must be secured as specified in chapter 5.

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b. Display. Display of functional AA&E, except antique or unique items, is prohibited. A museum which displays weapons may avoid the construction requirements of an armory (see paragraph 0401a) if the following security measures are in effect:

- (1) locked and/or alarmed exhibit cases,
- (2) IDS including point sensors on all doors and other man-passable openings, and area (or volumetric) sensors covering weapons display areas,
- (3) removal of firing pins or other parts that render weapons non-functioning,
- (4) checks of arms displays by museum personnel at least every 2 hours during open hours,
- (5) checks of the structure by security personnel at least every 8 hours during off hours,
- (6) further security requirements as determined by the security officer.

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## CHAPTER 5

AMMUNITION AND EXPLOSIVES

0500 GENERAL. Nonnuclear missiles, rockets, ammunition, and explosives in Risk Categories I through IV will be stored as required by this chapter and chapter 3.

0501 STORAGE FACILITIES. See reference (b) for construction standards. Category III and IV A&E may be stored in prefabricated magazines (specified in Naval Facilities Engineering Services Center Technical Data Sheet 82-12) if operationally necessary. Structural upgrades to existing facilities must provide 10 minutes of forced entry delay; use MIL-HDBK-1013/1 to meet this requirement. (R)

a. IDS. Protect Category I and II storage facilities by IDS unless they are continuously manned or under constant surveillance (see chapter 3 and appendix F). IDS for Category III and IV storage facilities is optional.

b. Security Patrols. Storage facilities must be checked periodically by a security patrol as dictated by the threat, and the vulnerability of the facility. Conduct checks at irregular intervals during non-duty hours as dictated in appendix F. Category III and IV A&E storage areas that meet the requirements of this instruction and are equipped with IDS do not require security patrols. (A)

c. Ready For Issue (RFI) Storage. See chapter 3.

0502 FENCES. Category I and II A&E storage areas must be fenced following the specifications in reference (d), except for the differences specified below. New chain link fencing is not necessary for Category III and IV storage facilities unless determined necessary based on local threats, vulnerabilities, and cost-effectiveness. Clear zones will meet the specifications in OPNAVINST 5530.14C (reference (d)). (R)

a. Minimum fence height is 6 feet, 7 feet for new fencing.

b. In Europe, fencing may be NATO Standard Designed Fencing (2.5-3mm gauge, 76mm grid opening, 2-meter height and 3.76-meter post separation).

c. Fences will have the fewest number of gates needed. Secure unmanned gates with low security locks (see appendix G).

d. Building walls may be used as part of a perimeter barrier if they can be observed.

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f. The following exceptions to clear zone requirements, though not desirable, are allowed: perimeter light poles, fire hydrants, steam pipes, etc.; barricades for explosives safety purposes; and entry control buildings (which must not be usable by an intruder for concealment or as a climbing aid).

g. Installing large quantities of new fencing may not be cost-effective. A request for a permanent exception to fencing requirements may be appropriate in some circumstances; the following should be considered:

(1) If the installation outer perimeter is adequately fenced, or it can more cheaply be made adequate, fencing of inner AA&E storage areas may not be required.

(2) Natural barriers such as mountains, cliffs, rivers, seas, or other difficult-to-traverse terrain may substitute for some security fencing if they provide equivalent security.

Note: Within the Marine Corps, final determination on the adequacy of variations to standard fencing will be made by the waiver/exception approval authority.

0503 ACCESS CONTROL. Vehicle and personnel gates will be secured and strict key control accountability observed. A pass, badge, access roster, or sign in/out system for magazine areas will be used for properly identified, authorized personnel. Maintain entry records for a minimum of 90 days. Privately-owned vehicles are prohibited in ammunition and explosives storage areas; exceptions may be allowed at Navy sites only at the discretion of the commanding officer. General recreation within the restricted area of a magazine or storage area is prohibited, however, hunting and fishing for control of game populations or other wildlife controls (see NAVFAC P-73, Volume II (reference (1))) may be authorized by the commanding officer. Personnel access standards established by NAVSEA OP 5 (reference (m)) and this instruction must be enforced.

a. Security force surveillance of the restricted area will include checking property passes of vehicles entering or leaving. Guards will perform routine and/or random inspections of vehicles entering, within, or departing. Frequency and extent of vehicle inspections is left to the discretion of the commanding officer based on local threat assessment, vulnerability analysis, and operational commitments.

b. Unaccompanied access to magazines and other AA&E storage spaces will be limited to persons required for essential operations.

(1) The commanding officer must approve personnel with unescorted access into ammunition and explosives spaces. He or she may delegate authority to approve escorted visitors. A list must be maintained of persons authorized access to these areas.



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(2) Personnel assigned to escort others in ammunition and explosives spaces must themselves meet the requirements for unescorted entry to those spaces, to include being on the appropriate authorized access list.

#### 0504 PROTECTION OF UNIT LEVEL STOCKS

a. Unit level stocks of arms and ammunition are those which are on hand for operational and training purposes. A typical storage facility would be a building used to store ammunition on a rifle range or a military police or guard operations room. Response force RFI arms and ammunition may be stored as described in chapter 3. See also the Unit Movements/Training section in chapter 7.

b. When operational or training considerations allow, store unit level stocks of ammunition and explosives in rooms or magazines that are equivalent to the structural standards prescribed in this chapter.

c. When operational or training considerations preclude such storage, store in or on combat vehicles, aircraft, small craft, or trailers, or in other configurations required by the operational environment (see appendix F).

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## CHAPTER 6

ACCOUNTABILITY, DISPOSITION, DISPOSAL, AND DEMILITARIZATION

## 0600 CATEGORY I NONNUCLEAR MISSILES AND ROCKETS

a. Activities with Category I nonnuclear missiles and rockets must maintain records providing continuous accountability. They will include items issued for training, and require the return of unexpended missiles and expended residue. When applicable, such records will be by serial number. Incoming shipments must be inventoried promptly. Procurement contracts will provide for individual serialization. Stock point inventories will be conducted semiannually according to procedures in NAVORDCENINST 4440.1. At unit level, 100-percent physical counts will be done monthly, 100-percent serial number inventories quarterly. Annually, one of these inventories will be performed by a disinterested third party officer, senior enlisted, or civilian equivalent (not in the inventory chain of responsibility; not with normal access; may be from within the command). (A)

b. Responsible DON activities will ensure that U.S. Navy-owned AA&E stored at non-U.S. Navy facilities, whether by another branch of service, foreign nation, NATO, or other, are inventoried to a level equivalent to that required herein.

## 0601 ARMS

a. Arms Serial Number Registration and Reporting(1) Delineation of Responsibilities

(a) The Army operates the DoD Central Registry that maintains control over serial numbers of all arms defined herein, and a file of arms that have been lost, stolen, demilitarized, or shipped outside the control of DoD. DoD Central Registry maintains tapes (forwarded monthly from component registries) containing the most recent serial number list of arms. The DON registry is Crane Division, Naval Surface Warfare Center (Code 4086). (R)

(b) NAVSURFWARCENDIV Crane (Code 4086) is responsible for maintaining a automated registry for serial numbers of arms in their inventory. The registry is updated based on transaction reporting; for example, receipts, issues, and turn-ins. (R)

(c) When the DoD Central Registry receives an inquiry concerning a lost, stolen, or recovered weapon listed as DON

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property, or as missing from DON, the Central Registry informs NAVSURFWARCENDIV Crane, (Code 4086), which ensures that:

1. Such losses, thefts, or recoveries are, or have been, investigated and reported as outlined in chapter 8.

2. DON AA&E recovered by police or investigative agencies is returned to DON control upon completion of investigative and prosecutorial action.

(2) Exclusions. Privately-owned arms and arms purchased with non-appropriated funds are not reported to the DoD Central Registry. However, installations with non-appropriated fund arms must establish procedures to identify such weapons by type and serial number.

(3) General Procedures

(a) Arms serial number registration and reporting procedures will ensure control over serial numbers from the manufacturers to depot, in storage, in transit to requisitioners, in activity custody, in the hands of users during turn-ins, in renovation, and during disposal or demilitarization. The DoD Central Registry maintains records of serial number adjustments and shipment to flag rank officers, Foreign Military Sales (FMS) and grant aid, activities outside of DoD control, and transfers between DoD components. Inventory incoming shipments promptly after receipt to ensure all items have been received and entered into the DoD or Navy registry, as appropriate.

(b) National or DON-assigned stock numbers will be used by DON for transactions to the DoD Central Registry.

(c) All arms, regardless of origin, that are accounted for in unclassified property records, must be reported. Automatic weapons will be reported on a priority basis.

(d) Arms with NSN or serial number missing, illegible or obliterated, will be reported by message or letter in the following format to the DoD Central Registry by NAVSURFWARCENDIV, for assignment of an NSN and management control serial number:

<u>NSN</u>	<u>Serial Number</u>	<u>Description</u>
(NSN or "None")	(SN or "None")	(Make, model,
caliber, nomenclature)		or other)

(e) When the DoD Central Registry identifies duplicate serial numbers by weapon type in DoD components, the U.S. Army Munitions and Chemical Command will provide instruction for modifying serial numbers. Movement and shipment of weapons

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must be held in abeyance pending correction of serial numbers.

(f) To ensure the DoD Central Registry is properly maintained, the following is required for small arms shipments:

1. Attach two Weapon Serial Number (WSN) control cards for each weapon in shipment to the supply documentation;

2. When operational procedures prevent compliance with subparagraph 1, attach a listing of WSNs to the supply documentation and

3. Incoming shipments must be opened by a designated receiver and the receipt of each item verified by check of the serial number. However, incoming shipments from new procurement received at depots that are preservation packaged need not be individually checked if the contract provides for a 100 percent serial certification by the contractor which is checked by government contract representative based upon acceptable sampling techniques. In the latter case, however, the receiving activity will conduct random sampling to verify the accuracy of serial numbers in each new procurement shipment.

(g) NAVSURFWARCENDIV and other DoD component registries will reconcile inter-service transfers of weapons on a transaction-by-transaction basis. Establish follow-up procedures to ensure the loop is closed on inter-service transfers.

(h) Refer questions concerning daily operations to the Navy Registry, Navy Small Arms Management:

Commander  
Code 4086  
NAVSURFWARCENDIV  
300 Highway 361  
Crane, IN 47522-5001

(R)

b. Physical Inventory Control

(1) The nature and sensitivity of arms control dictates strict adherence to the provisions of reference (n) or MCO P4400.150 (latest edition) and Service Manual 4400.124 with respect to physical inventories, research of potential inventory adjustments, reversal of inventory adjustments, retention of accountable documentation, quality control, and inventory effectiveness reporting.

(R)

(2) Responsible DON activities will ensure that all DON arms stored at non-DON facilities, whether by another branch of the service, foreign nation, NATO, or other, are inventoried to a

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level equivalent to that required here.

(3) The special provisions for controlled inventory items are important to the control of arms. In addition to the provisions in reference (n), the following minimum requirements must be met:

(a) Unit Level

A) 1. Navy units will perform a 100 percent physical count monthly and an inventory by serial number quarterly, except for boxed and banded arms. In this latter case, the count and inventory will consist of a 100 percent count as reflected by the number of items listed on the boxes. Any evidence of tampering will be cause for that box to be opened and a 100-percent count taken of the weapons in the box. One of these inventories each year will be performed by a disinterested third party (i.e., not in the inventory chain of responsibility nor with normal access) officer, senior enlisted or civilian equivalent (may be from within the command). Maintain inventory records of inventories that do not reflect discrepancies for 2 years; maintain records that reflect discrepancies for at least 4 years. This applies to naval units afloat and ashore except:

2. Marine Corps activities will physically inventory weapons not boxed, banded, and sealed with tamper-proof devices (long term storage) upon opening and closing any armory, and records will be kept for at least 1 year. Weapons in long term storage (boxed, banded, and sealed with tamper-proof devices) will be counted and inventoried by the number of items listed on the boxes. Weapons will only be placed in long term storage after they have been inventoried by serial number. Any evidence of tampering will be cause for that box to be opened and a serialized inventory conducted of its contents. In addition, a monthly inventory of serialized weapons will be conducted by a disinterested third party using an extract of the current, signed armory/weapons storage area Consolidated Memorandum Receipt (CMR). At a minimum, organizations storing small arms and conducting monthly serialized inventories should maintain the following for 2 years:

- a. Inventory officer letter of assignment;
- b. CMR extract utilized for inventory;
- c. Written results of inventories, to include that the seals were verified on packed weapons, that there was adequate supporting documentation for weapons not on hand (e.g., receipt copy of EROs, NAVMC 10520), and commanding officer's instructions concerning any discrepancies.

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(b) Depot or Station Level

1. Those arms not already entered into the DOD Central Registry will be completely inventoried in conjunction with the serialization reporting program.

2. Navy and Marine Corps stock points (activities of the shore establishment which account for AA&E in stores accounts) will take inventory once each fiscal year at depot and semiannually at station level. The inventories will consist of a 100-percent serialized count as reflected by the number of items in long term storage listed on the boxes. Weapons will only be placed in long term storage after they have been inventoried by serial number. A complete count must be made of the contents of every box that is opened or damaged. Maintain inventory records as required for Unit Level, above. NAVSURFWARCENDIV Crane will annually inventory all small arms and weapons in its possession and records kept for 2 years.

0602 AMMUNITION AND EXPLOSIVES

a. All ammunition and explosives at Navy units (Marine Corps units are excepted unless they hold Navy munitions) afloat and ashore will be subject to physical inventory control procedures in SPCCINST 8010.12D, Supply Management of Ammunition (reference (o)) which provides the procedures for reporting into the Conventional Ammunition Integrated Management System (CAIMS). CAIMS is the central records repository for worldwide Navy nonnuclear expendable ordnance. In addition to CAIMS reporting, all units will ensure stock records are established and maintained for continuous accounting of all ammunition and explosives on board.

b. Responsible DON activities will ensure that all U.S. Navy ammunition and explosives stored at non-U.S. Navy facilities, whether by another branch of the service, foreign nation, NATO, or other, are inventoried to a level equivalent to that required here.

c. The nature and sensitivity of ammunition control dictates strict adherence to the provisions of reference (o) with respect to physical inventories, research of potential inventory adjustments, reversal of inventory adjustments, retention of accountable documentation, quality control, and inventory effectiveness reporting. The special provisions for controlled inventory items are important in the control of ammunition and explosives.

d. Commanding General, Marine Corps Research, Development, and Acquisition Command (Code AM) is the central record

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repository for Marine Corps ground nonnuclear expendable ordnance and will issue appropriate guidance as required to Marine Corps units.

A) e. Categories II, III, and IV ammunition and explosives will be inventoried annually by all Navy and Marine Corps units afloat and ashore. Unit level inventories will be performed or supervised by a disinterested third party officer, senior enlisted or civilian equivalent (not in the inventory chain of responsibility; not with normal access; may be from within the command). Records will be retained for at least 2 years. Sealed boxes need not be opened if there is no evidence of tampering.

f. In addition to the Navy Registry, the following provisions apply for the establishment of DON AA&E accountability programs:

(1) Training Requirements. Navy and Marine Corps commands afloat and ashore will conduct training, with refresher courses, for personnel with AA&E-related duties (including security, inventory, supply audit, and AA&E handling personnel) covering the particular requirements and procedures of AA&E accountability which relate to their work. Include, as applicable:

(a) Inventory and accountability procedures including instructions for completing required documentation;

(b) Reporting requirements;

(c) Physical security requirements;

(d) Identification of persons and billet titles that have AA&E responsibilities;

(e) Off-station/inter-station movement procedures;

(f) AA&E shipment accountability procedures;

(g) Explanation of disciplinary actions which will result from breaches of AA&E accountability/security regulations;

(h) Emphasis on individual responsibility for the control and safeguarding of AA&E; and

(i) Instruction on use of deadly force, under reference (f) or (g), as applicable.

(2) AA&E Accountability Officer Responsibilities. Commanding officers will designate in writing an individual,

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military or civilian, as AA&E accountability officer with responsibility for all AA&E accountability matters and to ensure command-wide compliance with this chapter. He or she may also serve as weapons officer and/or inventory accuracy officer, and must maintain close liaison with the security and inventory accuracy officers. Responsibilities include:

(a) Assist the security officer, provost marshal, Naval Criminal Investigative Service (NCIS) agents, auditors, etc. in investigating AA&E losses.

(b) Regularly report to the commanding officer the status of command compliance with accountability controls, status of command inventory versus AA&E allowance, and AA&E requisition status. Keep copies of these reports for 2 years.

(c) Monitor performance and reporting of all AA&E inventories, as well as related MLSR reports.

0603 INVENTORY LOSSES. See chapter 8.

(D)

0604 INVENTORY EFFECTIVENESS REVIEWS. During assistance visits and command inspections, higher echelon commands will review AA&E inventories of subordinate activities. They will verify AA&E locations as indicated on inventories, and randomly compare sample serial numbers with AA&E listed on the inventories.

0605 VERIFYING REQUISITIONS. To ensure their validity, requisitions for AA&E will be signed by a designated individual (AA&E accountability officer, weapons officer, or armorer, as applicable) before processing out of the activity. Activities will maintain internal controls to reject excess or unauthorized requisitions.

0606 INVENTORY ADJUSTMENTS. Retain accountable documentation for all inventory adjustments, including MLSR reports, for 2 years.

0607 DISPOSAL AND DEMILITARIZATION. Disposal of surplus arms, parts, ammunition, and explosives is governed by DoD 4160.21-M (reference (q)). Demilitarization of AA&E must be accomplished under reference (k). AA&E undergoing demilitarization must be transported and stored in accordance with this instruction until demilitarization is completed. AA&E being disposed of without demilitarization (FMS, transfer to law enforcement agencies, etc.) will be transported and stored in accordance with this instruction until accountability is transferred. Also:

a. Arms. A transaction report listing serial number of each weapon disposed of or demilitarized will be made to the Navy



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- R) Registry, NAVSURFWARCENDIV Crane (Code 4086). They will report on to the DoD Central Registry upon demilitarization of arms previously entered into that registry.

(1) A report will be made to the DoD Central Registry of each arm disposed of other than by demilitarization, whether or not a record for that weapon already is in the DoD Central Registry.

(2) Demilitarization certificates must be signed by a technically qualified U.S. government representative before demilitarization residue can be released from U.S. control.

(3) Arms altered as detailed in DoD 4160.21-M-1 (reference (q)) to make them incapable of firing may be used as "dummy rifles" for drill purposes, with marksmanship training systems, or for display purposes. The Small Arms Program Manager must approve the altering of arms for these purposes. An approved small arms allowance for altered weapons is required and they will continue to be reported to the Navy Registry.

(4) Arms or major parts such as barrels, which are properly demilitarized or altered as dummy rifles, no longer require the protection detailed in this instruction.

b. Ammunition. Defense Reutilization and Marketing Offices (DRMO) are not permitted to receive live ammunition items, but may receive inert ammunition components for any additional demilitarization which may be required, or for disposal. In the U.S., ammunition will be demilitarized by a DoD component activity having such a capability. Overseas, where U.S. forces do not have the capability to demilitarize ammunition items, demilitarization may be performed by approved contractors who are licensed or controlled by the government of the country in which the contractor operates. Certificates as prescribed by reference (k) will be executed by technically qualified U. S. Government representative for all items demilitarized. Ammunition will never be buried, abandoned, destroyed, fired indiscriminately, or otherwise disposed of to avoid the inconvenience of returning it to a storage site.

c. Explosives. In addition to the requirements above, sales of surplus explosives in the United States are limited to individuals and companies holding a valid user's or dealer's license issued by the Bureau of Alcohol, Tobacco and Firearms, U.S. Department of Treasury. Overseas sales are limited to companies controlled or licensed by their respective government. Purchasers of explosives must provide a "Certificate Regarding End Use of Explosive Material" as prescribed in reference (q).

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d. Procedures. Activities will ensure accountability of items shipped to DRMOs is not dropped from supply records until they are in receipt of turn-in documents from the DRMO, and the transaction records are reconciled. Surplus ammunition and explosives at Navy activities worldwide that is authorized for disposal will be transferred to the Navy Special Defense Property Disposal Account N68259 for disposal processing. Procedures governing transfer and subsequent accounting, reporting, demilitarization, and disposal requirements, procedures and funding criteria are in reference (k).

e. Verification of Demilitarization. Demilitarized AA&E will not be displayed in offices, museums, or other areas unless accompanied by a certificate verifying demilitarization, executed by a technically qualified U. S. Government representative. The certificate may be located or filed near the displayed AA&E and will be produced for examination upon request. Demilitarized AA&E which is missing, lost, or stolen will be reported as live or operational AA&E unless a certificate of demilitarization is located and verified by authorities performing the investigation. Recovered demilitarized AA&E will be safeguarded and treated as live or operational until a certificate of demilitarization is located and verified or until a technically qualified person examines the item and certifies in writing that it is inert.

0608 FLEET RETURN DOCUMENTATION. The responsible individual at the receiving activity will verify Fleet Return Documentation (DD 1348-1) for accuracy when accepting custody of material. Quantity discrepancies will be annotated and corrected on the document. The ship's accountable officer will ensure appropriate stock record adjustments and Ammunition Transaction Reports are processed with subsequent MLSR reports, if applicable.

CHAPTER 7

TRANSPORTATION

0700 GENERAL

a. This chapter prescribes transportation security standards and procedures used in safeguarding categorized AA&E, as described in appendix A, and for safeguarding uncategorized 1.1, 1.2, and 1.3 (Class A and B) ammunition and explosives. Classified AA&E must be stored and transported as required by this instruction and reference (c). Where specific individual requirements differ between the documents, the more stringent requirement will be followed.

b. Circumstances may arise during shipment or movement which require on-the-spot decisions and interpretation of security standards. Remembering that the task is to provide security commensurate with the military value of the shipment and to safeguard it against loss, theft, or damage, commanding officers and their designated representatives may modify requirements on a case-by-case basis when common sense and mature judgement dictate. Such modifications will be reported to NAVORDCEN (Code N424) to assist in reevaluating the applicable security standard and to determine if a change is in order. Nothing in this chapter relieves the commanding officer from the responsibility for safeguarding AA&E in transit.

c. Commanding officers may direct additional protection based on threat determinations and evaluations of a particular movement.

d. Transportation service for conventional ordnance items is described in NAVSUPINST 4600.70 (reference (r)). Technical guidance on movement of Ammunition and Explosives (A&E) material is discussed in NAVSEA OP 2165 (Navy Transportation Safety Handbook for Ammunition, Explosives and Related Hazardous Materials, Volume 1, (NOTAL)), including also safety and other requirements.

0701 RESPONSIBILITIES

a. Within their respective areas of responsibility and as assigned by the Office of the Secretary of Defense, overseas theater commanders and the Commander, Military Traffic Management Command (MTMC) are responsible for:

(1) Ensuring that the transportation protective measures used for AA&E items are established in applicable tariffs, government tenders, agreements, or contracts;

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(2) Negotiating with commercial carriers for establishment of transportation protective measures to meet shipper requirements;

(3) Determining the adequacy of the services provided by commercial carriers for movement of AA&E items; and

(4) Routing when requested by shipper.

b. In addition, the Commander, MTMC:

(1) Develops, administers, and maintains joint transportation security procedures for the commercial movement of AA&E; and

(2) Serves as the DOD focal point for security and performance monitoring and oversight relative to the security of AA&E in transit in the custody of commercial carriers.

c. The Airlift Mobility Command (AMC) is responsible for ensuring the adequacy of the services provided for movement of AA&E items by military airlift, worldwide, and by commercial airlift procured by AMC.

d. The Military Sealift Command (MSC) is responsible for ensuring the adequacy of the services provided by military and commercial ocean carriage of AA&E items.

e. This chapter does not relieve accountable officers of their responsibilities to safeguard and account for property.

0702 STANDARDS. . The following transportation security policy and standards for AA&E by category, as set forth in appendix A, are required to adequately protect such items during shipment. On the basis of threat determination and evaluation of the movement itself, AA&E may be given additional protection, but not less than that required by the category assigned to the item. Use of commercial transportation services outside of CONUS will adhere as closely as practical to the requirements contained in sections 0703 through 0713. When such services cannot be obtained, compensatory measures must be taken to achieve equivalent security standards.

a. Every effort will be made to consolidate shipments into Truckload (TL) or Carload (CL) quantities. Less Than Truckload (LTL) shipments are considered more vulnerable to theft.

b. Small arms repair technicians may travel to support facilities and effect on-site repairs instead of shipping small arms for repair.

c. When practical, arms and ammunition of the same caliber will not be shipped in the same container or conveyance.

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d. Where available, export and import shipments will be processed through military managed and operated air and ocean terminals or through DOD-approved commercial air and ocean terminals.

e. Shipments of arms and ammunition scheduled for demilitarization and retrograde shipments will receive the same protection as other AA&E shipments.

f. When feasible, missile rounds will be shipped separately from launch and control equipment.

g. Security provided for AA&E at military and commercial terminals must conform to the standards set forth in appendices B and C. The standards will be provided to the commercial carrier by MTMC.

h. Shipments must be checked immediately upon receipt to ensure that the seals are intact and for any signs of damage or tampering. If there are any such signs, there must be an immediate inventory to verify quantities received and to determine the extent of any damage or tampering on all Category I and II and classified AA&E shipments. If the seals are intact, quantity verification must take place by the next working day. The requirement to check seals and verify quantities received includes shipments of all categories of AA&E and uncategorized Class A and B ammunition and explosives.

i. For rail shipment of Category I through IV items, the carrier must advise the consignee immediately upon arrival of the shipment at the yard serving the consignee and/or immediately upon arrival at the consignee's activity.

j. Uncategorized 1.1, 1.2, and 1.3 (Class A and B) ammunition and explosives shipped by all modes will be afforded the same protection as Categories III and IV, unless otherwise directed in writing by NAVORDCEN (Code N424).

k. Enhance transportation security measures during terrorist threat conditions.

l. CONUS shipment of .30-06 and .30 caliber ammunition of up to 12,000 rounds for Director of Civilian Marksmanship affiliated clubs are exempt from the DDPS requirement.

m. For AA&E shipments arriving at a destination during other than normal delivery hours, consignees capable of securing the shipments will accept the vehicle on their facility and secure it with the level of transportation protection required for the applicable category.

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0703 SPECIAL CONSIDERATIONS FOR CATEGORY I ITEMS

a. In addition to minimum security standards prescribed in table 7, shipments of Category I material by all modes will provide a continuous audit trail from shipper to consignee with advance certification of serial numbers of individual items or certified items. Two-man certification is required; that is, each container must be checked by two responsible agents of the shipper, and sealed and locked in their presence before delivery to the carrier. This rule applies at transshipment points and terminals whenever the original shipment loses its original identity; for example, when two or more shipments are consolidated into another container for further movement or if repacking is required.

b. When moved by unit or organization transportation, Category I material will be placed in the custody of a commissioned or warrant officer, E-6 or above, GS-6, wage leader-1, or wage supervisor.

0704 SPECIAL CONSIDERATIONS FOR WATER SHIPMENTS

a. Security of shipments must be an integral part of prestowage planning. Considerations include:

(1) Segregation of cargo;

(2) Cargo in locked and sealed containers;

(3) SEAVANS and MILVANS stowed so doors are not accessible to stevedores or ship's crew; and

(4) Break-bulk cargo stowed in the following order of priority: lockers, reefer boxes or deep tanks that can be locked and sealed; bins that can be boxed solidly with plywood or other appropriate materials, and stowed in the upper between decks of the hatches immediately fore and aft of the ship's house.

b. Specific locations of classified and conventional AA&E shipments, with any special considerations, will be indicated on the final stow plan and given to the responsible ship's officer.

c. Vessel movements of U. S.-owned AA&E to and from overseas locations and intra-theater movements are limited normally to MSC-controlled vessels; or when the above are not available, U. S. flag vessels or MSC-approved local national chartered vessels.

0705 SPECIAL CONSIDERATIONS FOR AIR MOVEMENTS. See table 7.

0706 SPECIAL CONSIDERATIONS FOR SMALL QUANTITY SHIPMENTS. Small quantity shipments for the purposes of these provisions will be shipments of 200 pounds or less, or in the case of small arms, 15 or fewer individual weapons per shipment.

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individual weapons per shipment (including Category II, III, and IV) - and missile components (excluding ammunition and explosives) may be sent by registered mail (return receipt requested) when the size and weight meet U.S. Postal Service requirements. Arms returned to central Navy storage should be shipped to:

Receiving Officer  
Code 20, Bldg. 2522  
NAVSURFWARCENDIV  
300 Hwy 361  
Crane, IN 47522-5001

(A)

b. Small quantities (200 pounds or less) of unclassified Category IV AA&E and uncategorized Class A and B ammunition or explosives may be transported using only DoD Constant Surveillance Service when loaded in an approved locked container such as a CONEX, DROMEDARY, MILVAN, or SEAVAN (reference (r)).

0707 ORGANIC AND UNIT MOVEMENTS/TRAINING. Movements will adhere as closely as practical to the commercial standards set forth in table 7, except that SM is not required. An armed guard is necessary except for AA&E movements on a military reservation (except at transshipment terminals as noted in appendix C).

a. Commanding officers may authorize transportation of small quantities of explosives by Explosive Ordnance Disposal (EOD) personnel and in Military Working Dog (MWD) explosives training aids without an armed guard. The explosives must be in the custody of designated EOD or MWD personnel or secured in designated vehicles.

b. Commanding officers may authorize transportation of small arms and associated ammunition to facilities on or near a military installation for marksmanship training, competition, or other requirements on a case-by-case basis. Weapons and ammunition must be in the custody of a designated individual. Use of privately-owned vehicles may also be authorized by the commanding officer.

0708 MOVEMENTS BY COMMERCIAL CARRIER. See to Table 7. Carrier employees will also meet the personnel requirements in chapter 2.

0709 REPORTS. Overages, shortages, damages, and a carrier's failure to provide required protection must be reported under reference (s). Overages and shortages must also be reported as required by reference (h).

0710 OVERSEAS IN-THEATER MOVEMENTS. Outside the Continental U.S., commanders - based on host nation requirements, the local threat situation, and personnel staffing - will use discretion in providing adequate security when transporting AA&E cargo. To the extent feasible, transportation service OCONUS will adhere as closely as possible to the established requirements for CONUS

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## 0711 FOREIGN MILITARY SALES (FMS) SHIPMENTS

a. DON officials authorized to approve an FMS transaction that involves the delivery of sensitive or classified U. S. AA&E and uncategorized 1.1, 1.2, and 1.3 (Class A and B) explosives to a foreign purchaser will, at the outset of negotiations or consideration of proposals, consult with DOD transportation authorities (MTMC, MSC, AMC, or other, as appropriate) to determine whether secure shipment from the CONUS point of origin to the ultimate foreign destination is feasible. Normally, the United States will use the Defense Transportation System (DTS) to deliver sensitive AA&E to the recipient government. If, in the course of FMS case processing, the foreign purchaser proposes to take delivery and custody of the AA&E in the United States and use its own facilities and transportation for onward shipment to its territory, the foreign purchaser or designated representative will be required to submit a transportation plan for DOD review and approval. The plan, as a minimum, must specify the storage facilities, delivery and transfer points, carriers, couriers or escorts, and methods of handling to be used from the CONUS point of origin to the final destination and return shipment when applicable. Security officials of the DON activity that initiates the FMS transaction will evaluate the plan to determine whether it adequately ensures protection of the most sensitive category of AA&E involved. Unless the DON activity approves the transportation plan as submitted, or it is modified to meet U. S. security standards, shipment by other than DTS will not be permitted. Transportation instructions, or the requirement for an approved transportation plan, will be incorporated in the security requirements of DD 1513, "DOD Offer and Acceptance."

b. Shipment will be made according to this chapter, until released to an authorized representative (as delineated in DOD 4000.25-8-M, reference (t)) of the purchasing government at the Port Of Embarkation (POE) or Port Of Debarkation (POD) as appropriate.

c. Shipments of classified AA&E to foreign governments will be done according to reference (c).

d. During FMS negotiations, the purchasing government will be advised of the applicability of this instruction to the security of AA&E procured. Shipments will be closely coordinated with the authorized representative of the purchasing government to ensure use of secure storage facilities that essentially meet the requirements of this instruction, and that shipment manifests are available at the POE and POD before shipments are delivered and released to the recipient country agent in CONUS.

e. For overseas movement, Category I AA&E should be under U. S. security control to POD unless waived by the Defense Security Assistance Agency in coordination with the Director, Security Plans and Programs, Office of the Deputy Under Secretary of Defense for Policy, and Foreign Military Sales agreements will



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be so written. Category I shipments returning from overseas will be placed under U. S. security control upon arrival at customs territory of the U. S. (CTUS).

#### 0712 CONTRACT MOVEMENTS

a. DON contracts that procure AA&E requiring transportation protective service will normally be written to require Freight On Board (FOB) origin only. For contractor-to-contractor shipments, contracts will be written to require transportation security equivalent to DOD standards in chapter 34, reference (r). Contracts must also specify contractor involvement in emergency response procedures in accordance with Title 49, Code of Federal Regulations, and provide for compliance with the Defense Traffic Management Regulation concerning carrier employee identification requirements.

b. AA&E cargo procured under third party contracts will be shipped per the requirements of this instruction. All such shipments are further restricted to military controlled ports or commercial ports safety-approved by the DOD Explosives Safety Board and security-approved by the MTMC, as applicable. The requirements are also applicable to contracts involving foreign procured (OCONUS) AA&E.

c. For deliveries of AA&E to DON or DON contractors from foreign contractors, the contract monitor will coordinate with applicable theater commands to arrange equivalent in-country security for delivery only to the nearest U. S.-controlled port facility.

#### 0713 SECURITY OF COMMERCIAL SHIPMENTS AT DON INSTALLATIONS

a. For AA&E shipments arriving at a destination during other than normal delivery hours, consignees that have the capability to secure the shipments will accept the vehicle on their facility and secure the vehicle according to the level of transportation protection required for the applicable risk category (see paragraph 0716 for temporary storage of AA&E in vehicles).

b. For uncategorized 1.1, 1.2, and 1.3 (Class A and B) ammunition and explosives, consignees must be able to provide safe haven according to reference (b).

c. For emergency situations including breakdowns or other circumstances beyond the carrier's control, installations with the capability will provide safe haven or refuge as outlined in reference (r) and OP 2165, Volume I, (NOTAL) and secure the vehicle according to the level of protection required for the applicable risk category (see paragraph 0716 for temporary storage of AA&E in vehicles). For deliveries of AA&E to DON or DON contractors from foreign contracts, the contract monitor will coordinate with applicable theater commands to arrange equivalent in-country security for delivery only to the nearest U. S.-controlled port facility.

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d. The destination transportation office will make necessary arrangements for receipt of AA&E upon receiving the Report of Shipment (REPSHIP) or other notification and will immediately notify:

(1) The local security officer of any discrepancies concerning shipments; and

(2) The Commander, MTMC, Attn: MTMC-SS, Washington, DC 20315, of shipment discrepancies in CONUS. The Airlift Mobility Command or Military Sealift Command will be notified OCONUS.

e. When a classified or Category I or II shipment is not received within 12 hours of estimated time of arrival (24 hours for Category III or IV) and the delivering carrier cannot provide a reasonable explanation for the delay, the origin transportation officer will be notified to begin tracing procedures.

f. The point-of-origin transportation office must comply with reference (r), NAVSEA OP 2165, Volume 1 (NOTAL)), and the following requirements.

(1) Loss, theft, unlawful disposition, or unaccountability of AA&E must be reported immediately in accordance with reference (h) and chapter 8.

(2) Shipments will be traced immediately upon notification of nondelivery.

(3) Government Bills of Lading (GBL) will be annotated to indicate type of service requested (e.g., PS, DD, MS, DN, RG, RS and GS) and whether the seals are carrier or shipper owned, whether they were sealed by the carrier or the shipper, and the serial numbers. A statement will be conspicuously placed on the GBL, "Notify consignor and consignee (enter 24 hour telephone numbers immediately if shipment is delayed enroute." The GBL will contain instructions for drivers to seek a safe haven on a U. S. military installation in the event of civil disorders, natural disasters, emergencies, or labor strikes. Contract host nation drivers may also seek refuge on a host nation military installation. For rail shipments of Category I through IV items, the carrier must advise the consignee of the shipment's arrival at the yard serving the consignee and of its arrival at the consignee's activity. The GBL should also reflect this requirement.

(4) When Signature and Tally Record service is used, DD 1907 or AC-10 will be furnished to the commercial carrier's representative who will be instructed that one must be completed and surrendered with the bill of lading to the consignee; where DD is used, both drivers will sign the DD 1907. The point-of-origin transportation officer must notify the consignee within 2 hours of a shipment's departure. Such notification will be by telephone, facsimile machine, or other electronic means and will be confirmed by a REPSHIP message to consignee.

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(5) An approved numbered seal must be used for all applications specified in table 7. Advance notice of shipment to the consignee and shipping papers to the carrier will specify that flame or heat-producing tools will not be used to remove seals from shipments of ammunition and explosives.

0714 ON-STATION MOVEMENTS. All transportation security criteria apply except that armed guards and SM are not required. On-station movement of arms and Categories I and II A&E by vehicles or other conveyances will not be started until entries are made in log books or production records, or until receipt forms have been initiated. The unit of measure will be the designated unit of issue for AA&E items. Receipt documentation will accompany the conveyance. For movement between areas, a procedure for continuously recording transfer of custody will be maintained using either the individual receipts, production records containing receipts, or log books. All documentation will include amount and type of arms and Categories I and II A&E, date and time for transfer, and signature of person receiving custody. Accounting for munitions containing bulk explosives, propellants, or illuminants will start when and where the items become finished products.

0715 MOVEMENTS WITHIN A RESTRICTED AREA. All transportation security criteria apply except: SM and dual drivers are not required, and motor vehicle movements of other than Category I and II may be done without seals or containers.

0716 TEMPORARY STORAGE IN VEHICLES, VANS, AND RAILCARS

a. AA&E contained in such conveyances will not be left unattended or unsecured outside of restricted areas. Each door to the conveyance will be secured by a numbered seal that meets specification MIL-S-23769 (latest series), "Seals, Security," Type 10, Class B, or Type 11. Use of padlocks is discouraged. Protection will be provided for stocks of numbered seals and seal inventory records to prevent theft or alterations to documents which accompany movements and shipments to points inside and outside the activity.

b. AA&E contained in such conveyances must be parked in designated restricted areas and attended or observed by duty personnel or guards (via CCTV is acceptable), or else each vehicle, van, and railcar will be physically inspected by a security patrol every hour.

TABLE 7

MINIMUM SECURITY STANDARDS FOR RISK CATEGORY I-IV (SENSITIVE) AA&E, CLASSIFIED ORDNANCE (EXPLOSIVE & INERT), AND UNCATEGORIZED AND UNCLASSIFIED 1.1, 1.2, AND 1.3 (CLASS A&B) EXPLOSIVES (see note 13)

MOTOR		
CATEGORY I	CATEGORY II	CATEGORY III and IV classified ordnance (explosive & inert), and unclassified and uncategorized 1.1, 1.2, and 1.3 explosives
<p>TL:</p> <ol style="list-style-type: none"> <li>1. SM and DN (W/NAC) (see note 11).</li> <li>2. Exclusive use of vehicle (see note 3).</li> <li>3. Locked and sealed by shipper (see note 4).</li> <li>4. Single line-haul required.</li> <li>5. Trip lease not authorized.</li> </ol> <p>LTL:</p> <ol style="list-style-type: none"> <li>1. SM and DN (W/NAC) (see note 11).</li> <li>2. CONEX, dromedary, or similar container authorized (see note 10).</li> <li>3. Locked and sealed by shipper (see note 4).</li> <li>4. Single line-haul required.</li> <li>5. Trip lease not authorized.</li> <li>6. Exclusive use of vehicle or authorized container.</li> </ol>	<p>TL:</p> <ol style="list-style-type: none"> <li>1. SM and DN (W/NAC) (see note 11).</li> <li>2. Exclusive use of vehicle (see note 3).</li> <li>3. Locked and sealed by shipper (see note 4).</li> <li>4. Single line-haul required.</li> <li>5. Trip lease not authorized.</li> </ol> <p>LTL: (see note 6)</p> <ol style="list-style-type: none"> <li>1. SM and DN (W/NAC) (see note 11).</li> <li>2. CONEX, dromedary, or similar container authorized (see note 10).</li> <li>3. Cargo packaged to a weight of at least 200 lbs. and banded (sealed if practicable) or container locked and sealed by shipper. (see notes 4 and 5).</li> <li>4. Single line-haul required.</li> <li>5. Trip lease not authorized.</li> <li>6. Exclusive use of vehicle or authorized container.</li> </ol>	<p>TL:</p> <ol style="list-style-type: none"> <li>1. SM and DD (see note 1).</li> <li>2. Locked and sealed by shipper (see note 4).</li> <li>3. Trip lease not authorized.</li> <li>4. Single line-haul required.</li> </ol> <p>LTL: (see notes 6 and 7)</p> <ol style="list-style-type: none"> <li>1. SM and DD (see note 1).</li> <li>2. CONEX, dromedary, or similar container authorized (see note 10).</li> <li>3. Cargo packaged to a weight of at least 200 lbs. and banded (sealed if practicable) or container, locked and sealed by shipper. (see notes 4 and 5).</li> <li>4. Trip lease not authorized.</li> <li>5. Single line-haul preferred.</li> </ol>
RAIL		
<ol style="list-style-type: none"> <li>1. RG (see note 8).</li> <li>2. MTX (see note 8).</li> <li>3. Locked and sealed by shipper (see notes 4 and 9).</li> <li>4. Immediate notification of consignee of delivery.</li> <li>5. Use appropriate Category I motor security for any associated motor movement.</li> <li>6. Use load divider doors when available.</li> </ol>	<ol style="list-style-type: none"> <li>1. RS (see note 8).</li> <li>2. MTX (see note 8).</li> <li>3. Locked and sealed by shipper (see notes 4 and 9).</li> <li>4. Immediate notification of consignee of delivery.</li> <li>5. Use appropriate Category II motor security for any associated motor movement.</li> <li>6. Use load divider doors when available.</li> </ol>	<ol style="list-style-type: none"> <li>1. RS (see notes 1, 8, and 12).</li> <li>2. MTX (see note 8).</li> <li>3. Locked and sealed by shipper (see notes 4 and 9).</li> <li>4. Immediate notification of consignee of delivery.</li> <li>5. Use appropriate Category III or IV motor security for any associated motor movement.</li> <li>6. Use load divider doors when available.</li> </ol>
COFC		
<ol style="list-style-type: none"> <li>1. In rail phase, same as Category I rail; in motor phase, same as Category I motor.</li> <li>2. Use only approved shipping containers (e.g., MILVAN, SEAVAN) and place on railcar door-to-door to prevent unauthorized access.</li> </ol>	<ol style="list-style-type: none"> <li>1. In rail phase, same as Category II rail; in motor phase, same as Category II motor.</li> <li>2. Use only approved shipping containers (e.g., MILVAN, SEAVAN) and place on railcar door-to-door to prevent unauthorized access.</li> </ol>	<ol style="list-style-type: none"> <li>1. In rail phase, same as Category III and IV rail; in motor phase, same as motor Category III &amp; IV (see note 12).</li> <li>2. Use only approved shipping containers (e.g., MILVAN, SEAVAN) and place on railcar door-to-door to prevent unauthorized access.</li> </ol>

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1. DoD CSS while aircraft is on the ground at commercial airports.
2. Shipments by Air Freight, Air Taxi, QUICKTRAINS, or AMC.
3. Shipper escort to carrier and immediate pick-up at destination (see note 2).
4. For air freight, banded or locked and sealed shipping container(s) required. For all other methods, banded or locked and sealed shipping container(s) if practicable.
5. Seal applied by shipper.

1. DoD CSS while aircraft is on the ground at commercial airports.
2. Shipments by Air Freight, Air Taxi, QUICKTRAINS, or AMC.
3. Shipper escort to carrier and immediate pick-up at destination (see note 2).
4. For air freight, banded or locked and sealed shipping container(s) required. For all other methods, banded or locked and sealed shipping container(s) if practicable.
5. Seal applied by shipper.

## WATER

1. Use Category I motor or rail security during the applicable ground portion of the movement.
2. Pier service only.
3. Written receipt from ship's officer at POE and written release to carrier at POD.

1. Use Category III & IV motor or rail security during the applicable ground portion of the movement.
2. Pier service only.
3. Written receipt from ship's officer at POE and written release to carrier at POD.

## WATER - BARGE

1. Apply appropriate transportation security from this table for associated ground/surface movements.
2. Load AA&E cargo last and unload first.
3. Comply with the special considerations for water shipments in OPNAVINST 5530.13B paragraph 0704. When those safeguards cannot be applied, employ comparable compensatory measures.
4. Tugboat must have two-way communication capable of reporting emergencies immediately to obtain law enforcement assistance.
5. Constant surveillance of shipment/barge by competent person(s).
6. Receipt signature from vessel officer or operator at POE and written release to authorized representative of POD consignee.

## Notes:

1. See DTMR chapter 34 for additional security requirements governing transport of AA&E which is also SECRET or CONFIDENTIAL.  
CAUTION: PS is an additional requirement for SECRET AA&E. It already includes DD.
2. Air carriers providing pick-up and delivery service by motor vehicle must comply with all applicable motor security requirements for the risk category during the motor phase. These protective services must be specified in appropriate Uniform Tenders Service.
3. When vehicle is loaded to full visible capacity, do not request exclusive use of vehicle.
4. Shipper seal may be removed and replaced by carrier seal (chapter 34, DTMR).
5. MIL STD 129 applies.
6. When practicable, consider sending 15 or fewer Category II, III, and IV small arms and missile components by registered mail (Return Receipt Requested).
7. Shipments of Category IV AA&E with gross weight of less than 200 pounds may be sent by commercial carriers offering DOD CSS without overpacking. However, such shipments must be loaded in an approved and locked container such as a CONEX, Dramedary, MILVAN or SEAVAN.
8. When RG (Rail Armed Guard Surveillance Service) and RS (Rail Surveillance Service) apply, shipper must report railcar initials and numbers (for example, DODX 400000) to the appropriate MTMC area command to obtain MTX (Military Expediting Service).
9. Includes use of upper rail lock.
10. Side opening containers which provide security equal to that of other approved containers are authorized for motor movements. Side openers may be used for COFC only where railcar construction provides a barrier to entry to the container door while in transit.
11. NAC: National Agency Check.
12. Secret not authorized for rail movement.
13. Organic or unit movements will adhere as closely as practical to commercial standards in this chart. EXCEPTION: SM is not required for organic or unit movements.

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## CHAPTER 8

REPORTS AND INVESTIGATIONS

## 0800 GENERAL

a. A thorough investigation will be made of missing, lost, or stolen AA&E to determine the circumstances and to fix responsibilities as appropriate. Inventory and accountability losses must be investigated thoroughly. BEFORE ANY LOSS CAN BE ATTRIBUTED TO AN INVENTORY OR ACCOUNTABILITY DISCREPANCY, IT MUST BE DETERMINED THROUGH INVESTIGATION THAT THE LOSS WAS NOT THE RESULT OF THEFT OR MISAPPROPRIATION. Under no circumstances will an MLSR report for AA&E give "inventory" or "accounting" error as a probable cause for missing, lost or stolen AA&E until a Naval Criminal Investigative Service (NCIS) or command investigation so indicates. This chapter does not apply to privately owned weapons.

b. Navy and Marine Corps units will promptly submit appropriate information relating to theft or suspected theft of AA&E to the local NCIS office per reference (h).

(1) NCIS will make National Crime Information Center (NCIC) report entries and also notify the Navy Registry (NAVSURFWARCEMDIV Crane (Code 4086)), when applicable. Information will also be submitted to the NCIC and Navy Registry for recovery of DON or other DoD arms. (R)

(2) NCIS offices will report significant losses of AA&E (see paragraph 0801b) to the Bureau of Alcohol, Tobacco, and Firearms within 72 hours. NCIS will also provide appropriate information on theft or suspected theft of AA&E to local police and FBI. (R)

c. The provisions of this chapter do not preclude the submission of other reports, such as the requirements in reference (s) and OPNAVINST 3100.6G (NOTAL).

## 0801 REPORTS

a. MLSR Reports. As required by reference (h), activities will submit reports of all missing, lost, stolen, or recovered (MLSR) AA&E to CNO (N09N3), with a copy to NAVSURFWARCEMDIV Crane (Code 4044). Marine Corps units will report to CMC (LPP-2/POS-10) with copies to the chain of command, NAVSURFWARCEMDIV Crane (Code 4044), and MARCORSYSCOM (AM-IMS) for ammo items. (Note: other reports may also be required by higher authority (such as an OPREP-3 or unit SITREP).) MLSR reports are required only if actual gains or losses may have occurred; if causative research can, within a reasonable amount of time (45 days), prove that discrepancies are due to errors in records and not actual loss, then an MLSR report should not be submitted (R)

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(unless to correct an earlier mistaken MLSR report).

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b. Significant Incident Reports. For "significant" incidents involving AA&E, DON activities will send message reports within 48 hours detailing the circumstances surrounding such incidents to CNO (N09N3), with copies to the chain of command and NAVSURFWARCEMDIV Crane. CNO (N09N3) will in turn notify DoD (Director, Security Programs, DASD(I&S), ODASD(C3I)) not later than 72 hours after occurrence or discovery. Generally, loss or theft of the following AA&E is considered "significant":

- (1) One or more missile or rocket rounds;
- (2) One or more machine guns;
- (3) One or more automatic fire weapons;
- (4) 25 or more manually operated or semi-automatic weapons (e.g., revolvers and semi-automatic pistols);
- (5) Ammunition as follows:
  - (a) Over 5,000 rounds (or 20,000 rounds of .38 caliber) of ammunition smaller than 40mm: five rounds or more of 40mm and larger ammunition; and
  - (b) Any fragmentation, concussion, or high explosive grenades, including artillery or ground burst simulators, or other simulators or devices containing explosive materials;
- (6) One or more mines (antipersonnel and antitank);
- (7) Demolition explosives including detonation cord, blocks of explosives (C-4), and other explosives;
- (8) Also reportable are:
  - (a) Armed robberies or attempted armed robberies;
  - (b) Forced entries or attempted forced entries in which there is physical evidence of the attempt;
  - (c) Any evidence of terrorist involvement;
  - (d) Incidents that cause significant news coverage, or appear to have the potential to cause such coverage; and
  - (e) Any evidence of trafficking, such as bartering for narcotics or taking AA&E across international borders, regardless of the quantity of AA&E involved.

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c. Activities will ensure records reflect final disposition of an investigation, including recoveries and disciplinary action, as appropriate. Retain records for 4 years.

d. CNO (N09N3) will provide trend analyses and threat assessment studies to the Office of the Assistant Secretary of Defense (Command, Control, Communication, and Intelligence) Intelligence/Counter Intelligence and Security Policy .

e. NAVSURFWARCENDIV Crane will promptly report loss, theft, or recovery of arms to the DoD Central Registry.

(1) NAVSURFWARCENDIV Crane will maintain a consolidated data base of all MLSR reports submitted by DON activities, including any report under subsection 0801b. These will include:

(a) A summary of the circumstances in each instance;

(b) Dates, locations, and activities involved; and

(c) A statement, based on the investigation, regarding the type or circumstances of the loss or recovery such as inventory, theft, in-transit, training, operational, or other.

(2) NAVSURFWARCENDIV Crane will provide quarterly reports, including trend analysis of current AA&E data, to NCIS headquarters, with copies to fleet CINCs and CMC (POS-10), as appropriate. Additional MLSR reports by NAVSURFWARCENDIV Crane will be as directed by NCIS headquarters and/or CMC (POS-10).

0802 COMMAND INVESTIGATION. When AA&E is missing, lost, or stolen and NCIS declines investigation, the security officer or provost marshal of the accountable or host command will perform an investigation. The AA&E accountability officer will ensure all applicable documents and personnel are available to the security officer/provost marshal. A final MLSR report will not be submitted until the security officer/provost marshal submits a final investigation report to the commanding officer. The security officer/provost marshal will:

a. Investigate the circumstances surrounding the loss, including inventory and custody records, applicable security procedures and hardware, spaces where the AA&E was last seen, and applicable key control/access logs;

b. Interview the individual specifically accountable for the lost AA&E, as well as those with recent access or security-related responsibilities in the area;

c. Using the data from investigation, interviews, and records, determine the most likely cause of the loss; and

d. Report findings in writing, with recommended



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corrective action, to the commanding officer. Corrective action may include disciplinary action, appropriate training of personnel or procedural changes in AA&E handling. The security officer's report must reflect the final disposition of investigative action, including recoveries and disciplinary action, as appropriate. The report and associated MLSR reports will be kept for at least 4 years.

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## CHAPTER 9

### LOW RISK AA&E

0900 GENERAL. Physical security measures in this chapter are minimum standards for AA&E which does not fit within an established risk category. This may include large naval weapons (e.g., aircraft-mounted 20-30mm cannons) or Marine artillery pieces. Level of risk can be determined for any ammunition or explosive item by using the Decision Logic Table in appendix A. Commanding officers must evaluate the need to protect low risk AA&E according to the local threat and changing risk factors.

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#### 0901 SECURITY MEASURES

a. As a minimum, commanding officers will designate AA&E storage areas as Level One Restricted Areas as defined in reference (d), and provide the requisite protection, or alternative security measures which are deemed equivalent.

b. If feasible, classified low risk AA&E will be protected following reference (c). At a minimum, low risk ammunition and explosives classified SECRET or CONFIDENTIAL will receive protection at least equivalent to that provided for Risk Categories II and III respectively.

c. The security force will patrol open storage areas containing low risk AA&E at irregular intervals, but often enough to assure the commanding officer that the munitions are secure.

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## CHAPTER 10

WAIVERS AND EXCEPTIONS

## 1000 GENERAL

a. Submit requests for waivers or exceptions when all avenues for compliance have been exhausted. Approval of waivers and exceptions does not relieve commanding officers of the responsibility to maintain security through the use of approved compensatory security measures.

b. Existing facilities may deviate 10 percent from measurable standards.

c. Deficiencies that will be corrected within 60 days do not require a waiver or exception; however, compensatory measures must be taken during the interim.

d. Waivers and exceptions will be considered individually. Blanket waivers and exceptions are not authorized.

e. Copies of approved waivers or exceptions that apply to commercial carrier transportation minimum security standards (chapter 7), together with compensatory measures taken, will be forwarded to the Commander, Headquarters Military Traffic Management Command (Attn: MT-IN), 5611 Columbia Pike, Falls Church, VA 22041-5050 by CNO (N09N) and CMC, as appropriate.

f. Waivers and 36-month exceptions are self-cancelling at their allocated times, unless an extension or renewal is approved by CNO (N09N1) or CMC (POS-10), as appropriate. Cancellations do not require approval.

## 1001 WAIVERS AND EXCEPTIONS

a. Navy

(1) Waivers. Forward requests for waivers (12 months or less) to specific AA&E security requirements via chain of command to Echelon 2 commands for approval (except for classified AA&E). Requests must completely describe the difficulty with a specific requirement, and the intended compensating measures. Fleet CINCs may delegate their authority to type commands, but no further.

(a) Waiver requests for classified AA&E will be submitted via chain of command and NAVORDCEN (N72) to CNO (N09N2).

(b) For AA&E Risk Category I items, ships will request waivers and exceptions via chain of command and NAVORDCEN (N72) to CNO (N09N1), with a copy to NAVSURFWARCENDIV (Code 3046).

Enclosure (1)

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(c) Extension of waivers must be requested via chain of command and NAVORDCEN (N72), and approved by CNO (N09N1).

(d) FLTCINCs will, for budgetary planning purposes, provide NAVORDCEN (N72) and NAVSURFWARCENDIV (Code 3046) copies of approved waivers.

(2) Exceptions. Forward requests for permanent or long-term (36 months or longer) exceptions to specific requirements via chain of command and NAVORDCEN (N72) to CNO (N09N), with a copy to NAVSURFWARCENDIV (Code 3046). Requests must completely describe the difficulty with a specific requirement, and the compensatory measures employed.

b. Marine Corps

(1) Waivers. CMC (POS-10) is the approval authority for waiver requests originated from Marine Corps activities and units, including Marine Corps reserve components. Requests for waivers of AA&E security requirements will be originated by the commanding officer of the activity in the format prescribed in this chapter. Commanding officers will ensure that compensatory measures have been implemented and that they are described within the waiver request. All waiver and waiver extension requests will be accompanied by a copy of the most recent physical security survey and endorsed by the installation provost marshal. Waivers normally may be granted for a period of 1 year and may be extended only after a review of the circumstances necessitating the extension. Each extension will state first extension, second extension, etc.

(2) Exceptions. An exception is appropriate when a specific security requirement cannot be met in the near-term (usually within 12 months). The format and approval process for an exception request will be as prescribed for waivers. Requests for exceptions will contain an analysis of the problem and a detailed description of equivalent security measures in effect.

c. Any request for extension will specify action taken by the activity to correct the deficiency (e.g., budget exhibit, purchase order, work request, or similar documents).

1002 IDENTIFICATION NUMBERS. Each waiver, exception, or waiver extension must be identified with a number as follows:

a. The first six digits, beginning with "N" for Navy or "M" for Marine Corps, represent the Unit Identification Code (UIC) of the activity initiating the request;

b. The next digit is either "W" for waiver or "E" for exception;

c. The next two digits are the serial number of the request. Beginning anew with each calendar year, waivers and exceptions

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will be numbered together in sequential order (e.g., W01, E02, W03, etc.).

d. The last two digits identify the calendar year of the request;

e. Example: N01234-W01-94

N = Navy activity (M = Marine Corps Activity)

01234 = UIC

W = Waiver (or use "E" for exception)

01 = 1st waiver request of calendar year

94 = 1994 (year initial waiver was requested)

f. Original waiver or exception numbers will always be used when requesting an extension, and requests must be initiated 60 days prior to expiration.

1003 WAIVER REQUEST FORMAT. All information required below must be provided in waiver and waiver extension requests. Requests will be in letter format. Non-applicable elements shall be noted "N/A." Copies of all correspondence dealing with waivers and exceptions will be sent to NAVSURFWARCENDIV Crane (Code 3046).

a. Line 1 - Waiver number (see preceding section).

b. Line 2 - State the requirement which cannot be met, referencing chapter, section, and paragraph of this instruction.

c. Line 3 - Describe the specific conditions causing a need for the waiver, and reasons why the standard cannot be met.

d. Line 4 - Describe the AA&E materials affected by the waiver request. Example: "AA&E Categories I and II."

e. Line 5 - Describe the physical location of the affected facilities or area. Identify structures by building number and use.

f. Line 6 - Identify interim compensatory measures in effect or planned.

g. Line 7 - Describe the impact on the command's mission, and any problems which will interfere with safety or operating requirements, if the waiver is not approved.

h. Line 8 - Identify resources, including estimated cost, needed to eliminate the waiver.

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i. Line 9 - Identify actions initiated or planned to eliminate the waiver, and estimate the time needed to complete the actions. Give a project number.

j. Line 10 - Provide point of contact including name, rank/grade, DSN, and commercial phone number.

1004 EXCEPTION REQUEST FORMAT. The information required below must be provided in exception requests (permanent and long-term). Requests will be in letter format. Non-applicable elements shall be noted "N/A." Copies of all correspondence will be sent to NAVSURFWARCEMDIV Crane (Code 3046).

a. Line 1 - Exception number (see above).

b. Line 2 - State the requirement which cannot be met, referencing chapter, section, and paragraph of this instruction.

c. Line 3 - Describe the specific conditions causing the need for an exception and the reasons why the standard cannot be met.

d. Line 4 - Describe the AA&E affected by the request.  
Example: "AA&E Categories I and II."

e. Line 5 - Describe the physical location of the affected facilities or area. Identify structures by building number and by use.

f. Line 6 - Identify, in detail, equivalent security measures being applied.

g. Line 7 - Describe the impact on the command's mission, and any problems which will interfere with safety or operating requirements, if the exception is not approved.

h. Line 8 - Provide point of contact including name, rank/grade, DSN, and commercial phone numbers.

1005 REVIEW OF WAIVERS AND EXCEPTIONS. Activities will review waivers and exceptions for continuing need, as well as for compliance with this instruction, at least annually and during command inspections.

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## CHAPTER 11

AA&E STORAGE AFLOAT

## 1100 GENERAL

a. Physical security measures in this chapter are minimum standards for each ship while in port. When underway, a lower level of security, consistent with the ship's mission, is acceptable.

b. Nuclear weapons capable ships will ensure that there is no confusion or ambiguity between nuclear and conventional munitions security procedures or requirements. While certain procedures, information, and hardware may be used to ensure the security of both (such as guard force training, threat assessments, and high security hardware) it is imperative to maintain nuclear and conventional security measures as unrelated, self-contained programs which operate independently of each other. That must be absolutely clear in ship's procedures, documentation, accountability, and operations as well as in the actions of all ship's personnel who have either nuclear or conventional AA&E responsibilities. Nothing in this instruction pertains to nuclear munitions, which are covered in OPNAVINST C8126.1A, Navy Nuclear Weapon Security (NOTAL).

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c. Approved ship alterations (SHIPALT) have been issued for IDS installations for AA&E spaces on CV, LCC, and LPH type ships. No other IDS SHIPALTs are presently planned or programmed. However, they will be considered for Category I AA&E storage spaces if adequate guard manpower is not available. Shipboard emergency power meets the requirement of a backup independent power source.

d. Shipboard nonnuclear weapon systems where ordnance is positioned in missile launchers, gun mounts with integral magazines, tubes, or racks in ready-to-fire condition are exempt from security requirements contained here. The systems must be provided with positive means to prevent unauthorized tampering, arming, launching, or firing.

e. Torpedos in submarine torpedo rooms are exempt from the security requirements contained here. So too are arming devices stored in appropriately secured lockers within a torpedo room, provided they are inventoried before entering port and transferred to a tender or shore base for secure storage while inport. Arming devices may also be stowed in the small arms ammunition locker in lieu of off-loading them. Other AA&E stowage on submarines such as small arms ammunition, pyrotechnics, and demolition charges are not exempt.

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f. For storage of non-government AA&E (e.g., privately-owned AA&E) see chapter 2.

1101 PROTECTION PRIORITIES. Priorities for protection of AA&E, including response force priorities, are:

a. Spaces used to store man-portable hand-launched rocket/missile systems in a ready-to-fire configuration, and explosive rounds for such weapons;

b. Armories and lockers containing small arms;

c. Magazines and lockers containing classified ordnance or grenades and demolition explosives;

d. Topside ordnance lockers;

e. Installed shipboard weapon systems where ordnance is positioned in launchers, gun mounts with integral magazines, tubes, or racks in ready-to-fire condition (see paragraph 1100d);

f. Magazines and lockers containing pyrotechnics and ammunition 40mm and smaller; and

g. Magazines not covered above containing explosive items or ammunition larger than 40mm.

1102 GENERAL REQUIREMENTS FOR ARMORY, MAGAZINE, AND TOPSIDE LOCKER STORAGE. Armories, magazines, and topside lockers aboard ship will be constructed as indicated in the next paragraphs and be capable of being secured to meet storage requirements for Category II AA&E. All AA&E assigned a security risk category will be stored in armories, magazines, or topside lockers as appropriate. Category I AA&E storage spaces with IDS protection will be checked at least every 24 hours; without IDS, they will be physically checked randomly within 4-hour periods at sea, and randomly within 1-hour periods in port.

a. Ready For Issue (RFI) AA&E may be secured as specified in the RFI paragraph in chapter 3 in lieu of the structural requirements detailed in this chapter.

b. All ammunition and explosives for use during exercises and operations at sea, including that used for safety or life saving (except that which is a permanent element of life saving equipment, e.g., life raft pyrotechnics) stored in ready service lockers without high security features will be returned to secure storage upon return to port.

c. Storage of all ammunition and explosives is subject to established explosive safety and compatibility requirements contained in NAVSEA OP 4 (reference (u)).



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1103 STRUCTURAL REQUIREMENTS FOR ARMORIES AND MAGAZINES. As a minimum, bulkheads will be constructed of 14-gauge steel. Decks and overheads will be constructed of similar strength material. Expanded metal is not a suitable substitute. On ships with aluminum superstructures, superstructure bulkheads 1/8-inch thick are adequate. Bulkheads constructed of double-walled extruded aluminum and aluminum honeycomb type are not acceptable. Bulkheads will be of continuously welded construction, except solid core rivets or mechanical fasteners (minimum 1/4-inch in diameter) will be used for fastening dissimilar metals. On board submarines, patrol gunboats, hydrofoils, mine sweepers, and patrol and utility-type craft, construction in accordance with current ship's plans is acceptable. Appropriate standards will be incorporated in plans for new construction.

1104 REQUIREMENTS FOR DOORS AND HATCHES OF ARMORIES AND MAGAZINES

a. Entrances to AA&E spaces will be held to a minimum, consistent with safety requirements and efficient operations.

b. Entrance doors will be as shown in COMNAVSEASYSCOM standard drawings. They will be constructed of a minimum 14-gauge steel except for the following:

(1) Sheathing of existing doors with 14-gauge steel is acceptable;

(2) On aluminum hull ships, doors as designed will suffice. However, double wall extruded aluminum and aluminum honeycombed construction are not acceptable and will be replaced with aluminum doors as shown in COMNAVSEASYSCOM standard drawings; and

(3) On mine sweepers, existing doors may be retained.

c. A non-removable observation port will be provided in entry doors of manned armory spaces. Such doors will be fitted with an interior locking device (e.g., hook and staple, or dead bolt) which will be locked whenever the armory is manned. New observation ports and replacements will follow NAVSEA Drawing No. 805-1400055.

d. Main personnel entrances to AA&E spaces will be provided with normal and emergency lighting (may be relay/battery operated battle lanterns) sufficient to allow examination of locking devices. Submarines, topside lockers, and entrances to AA&E spaces opening onto weather decks are excluded from this requirement.

e. Main personnel entrances to AA&E storage spaces will be posted with signs reading "RESTRICTED AREA, KEEP OUT" (or "SECURITY AREA, KEEP OUT") and "AUTHORIZED PERSONNEL ONLY" or close equivalent. Topside lockers and entrances opening onto weather decks do not require such signs.

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f. Hinges will be located within the secured area whenever possible. Where hinges are located outside the secure area, the door will be fitted with hinge security brackets (minimum of two, or continuous strip).

g. Doors other than the main personnel entrance and emergency escapes may be secured from the inside with sliding bolts, bars, or pins.

h. When a trunk serves only one deck, high security hardware at the trunk entrance will suffice for multiple magazines on the same level.

#### 1105 REQUIREMENTS FOR SMALL ARMS RACKS, LOCKERS, AND CONTAINERS

a. Within armories small arms must be stored in arms lockers of 14-gauge steel with hinge security hardware, GSA-approved security containers, or any gauge metal gun racks with rack locking devices (e.g., locking bar, cable, chain, etc.) and approved low security lock(s) (see appendix G). If, however, armory spaces are also used as divisional work centers (and therefore not always under the control of the armorer), high security locks are required and gun racks may not be used.

b. Small arms stored in lockers or spaces having high security hardware that are located or have sole access from within an armory meeting high security criteria, do not require rack locking devices.

c. Small arms within lockers on submarines or other ships, which are designated as RFI to response forces, do not require rack locking devices if the locker is fitted with high security hardware or the space in which the locker is located is manned 24 hours a day.

d. Where equivalent or higher security standards exist, modification to spaces as required by this section will not be undertaken.

e. New and retrofitted topside ordnance lockers will be constructed of a minimum of 14-gauge steel. Existing 1/8 inch aluminum topside ordnance lockers may be retained provided they are not used to store grenades, demolition material or incendiary material. All will have high security locks, hasps, and two hinge security brackets (or a continuous strip). Note: a 1300 series hasp, when used with a medium security lock, is acceptable as a high security locking system.

#### 1106 REQUIREMENTS FOR AA&E EMERGENCY ESCAPE SCUTTLES AND HATCHES

a. Under no circumstances will emergency escape scuttles and hatches be padlocked from the inside.

b. Outside locking devices for emergency scuttles and hatches with permanently installed quick acting double (top and bottom) handwheels will be a hinged box (of 14 gauge steel) with protected hinges or a locking bar (of 1/4 inch minimum 300 series stainless steel). The box or bar will be secured with an approved high security padlock/locking device (see appendix G). That method is also approved for scuttles/hatches with removable handwheels or flush scuttles/hatches operated with a "T" wrench.

c. Where a box and padlock on top of a closure is an unacceptable tripping hazard, the locking device may instead be a toggle pin on the inside which constrains movement of dogging devices.

d. Exterior locking devices (other than hinge boxes) on emergency escape scuttles and hatches will be removed whenever the space is manned.

e. Install a label plate on top of escape scuttles with one-inch red letters reading: "ESCAPE SCUTTLE, DO NOT OBSTRUCT OR BLOCK." Where escape scuttles are required to be locked, also install a label plate on the main entry reading: "ESCAPE SCUTTLE TO THIS SPACE MUST BE UNLOCKED AT ALL TIMES WHEN THE SPACE IS OCCUPIED."

#### 1107 REQUIREMENTS FOR AA&E ELEVATORS

a. Commands will ensure that unauthorized access to AA&E storage areas cannot be gained by way of elevator trunks. Internal securing of man-moveable elevator hatches and doors within the AA&E storage area can be accomplished by internal locks, locking pins, and bars or dogging capabilities which cannot be bypassed from outside.

b. Power or manual doors controllable only from within the secured area do not require locking systems.

c. Where "J" doors are installed in lieu of hatches, the elevator platform will be secured and controls outside the secure spaces will either be made inoperable or locked to prevent unauthorized use (elevators which do not access AA&E storage areas do not require security controls).

d. Elevator "J" doors will be secured at the lowest level with the end interlocking device locked with an approved lock (see appendix G).

1108 OPENINGS IN AA&E STORAGE SPACES. Each opening or duct of 96 square inches or more with the least dimension greater than 6 inches will be protected by steel bars (minimum 3/8-inch steel rods with maximum 4-inch spacing) or 6-gauge wire mesh. Bars and wire mesh will be welded to steel frames securely anchored to the structure by smooth head bolts or welding.

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1109 LOCKING SYSTEMS AND KEY CONTROL. Locking systems will be complete and compatible, i.e. locks, hasps, etc. will be applied to doors, hatches, and frames so that each element is compatible and structurally equivalent, with the whole unit offering a relatively uniform resistance to attack. In addition to the provisions in chapter 3, the following apply:

a. AA&E storage space entrances, unless secured from inside, will be secured with a high security locking system (see appendix G, including note (1)). Local tender-constructed hasps are not authorized;

b. Doors to AA&E storage areas storing other than Category I do not require high security hardware if these areas are served by a common compartment on the same deck with a single entrance which has high security hardware;

c. When a trunk serves only one deck, high security hardware at the trunk entrance will suffice for multiple magazines on the same level;

d. Doors or hatches, other than the main personnel entry, may be secured from the inside using sliding bolts, bars, or pins. Emergency exits may use appropriate emergency hardware;

e. Topside ordnance lockers used to store high explosive or white phosphorus grenades, demolition material, or incendiary rockets will be secured with a high security locking system. Other topside lockers will use either a high security locking system or a medium security padlock with a hasp fabricated of minimum 1/4 inch 300 series stainless steel per MIL-H-43905;

f. Appendix G and the Naval Ships Technical Manual S9086-UK-STM-010 (NOTAL), Chapter 604 (Locks, Keys, and Hasps) provide further helpful details; and

g. Key control will be as delineated in chapter 3.

1110 STORAGE OF CREW AND SHIP'S MARINE DETACHMENT AA&E

a. Small arms will be stored in lockers or metal racks within a designated secured space. Detachment arms may be stored in detachment berthing areas in approved weapons security racks. Keys for racks and lockers will be under the control of the detachment commanding officer.

b. GSA-approved Class 5 security containers are authorized for storage of small arms in lieu of small arms lockers/racks.

Note: This authorization does not pertain to embarked troops.

c. The minimum essential amount of small arms ammunition for designated response force weapons may be stored with those weapons (see Ready-For-Issue storage in chapter 3).

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d. Small arms (including Very pistols unless required at anchorage for drills or actual use) stored in ready service racks or boxes while at sea will be returned to the ship's armory upon entering port.

#### 1111 STORAGE OF EMBARKED TROOPS' AA&E

a. A ship's ammunition and explosives allowance may be stored with Landing Force Operational Reserve Material (LFORM) if the containers are clearly marked to differentiate the two.

b. Shipboard storage of all small arms for embarked troops will be in armories, small arms lockers, rifle racks, or shipboard designated ordnance spaces. Rifles stored in troop berthing areas will be secured in approved rifle racks or lockers. Each rifle rack lock will be keyed differently and a minimum of three keys per lock will be available for issue.

c. To allow for damaged locks and lock rotation, spare lock cylinders totaling 10 percent of the total number of locks will be kept. Keys will be stored in a locked key cabinet or repository in the ship's armory. The keys to the key cabinet or repository will be in the custody of the ship's armorer. However, when troops are embarked, the armory key cabinet or repository may be relocated as designated by the commanding officer of the embarked troops.

d. Rifles not stored in approved rifle racks or lockers will be returned to the troop armory upon entering port.

e. When troop arms and ammunition exceed the capacity of troop armory and magazine spaces, maximum use will be made of unused space in the ship's armory and magazines respectively.

f. When secure space is not available for a portion of the embarked troops' AA&E, metal containers are authorized for storage providing the space is designated a restricted area and the containers are under direct observation by a 24-hour armed guard. The armed guard may be a member of the embarked troops or the ship's crew.

#### 1112 AA&E INVENTORIES

a. The ship will conduct scheduled inventories of AA&E as required in chapter 6. Additionally, inventories of arms and Category I items will be conducted upon relief of the commanding officer; upon relief of the department head responsible for the items; and upon commissioning or deactivation.

b. The ship will maintain a current inventory of all AA&E on board. Partial or open containers of ordnance will be inventoried by piece count, noted on the container, then resealed or banded so that daily magazine inspections may readily detect unauthorized entry.

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1113 ACCESS CONTROL

A) a. Unaccompanied access to armories, magazines, and other  
A) AA&E storage spaces will be limited to those persons necessary  
A) for performance of essential operations. Persons with access to  
arms or ammunition or explosives must be designated in writing by  
the commanding officer only after a favorable National Agencies  
Check (NAC) or Entrance NAC (ENTNAC) has been completed. Before  
persons are assigned duties involving access to or use of AA&E,  
they will be screened as delineated in chapter 2.

b. The commanding officer is responsible for approving  
unescorted access. Escorted access may be approved by his/her  
designated representative. The command will maintain a list of  
authorized personnel, one copy kept by the ship's duty section  
and one copy posted inside the armory. An access log will be  
maintained listing the name of the person(s) allowed access, the  
person authorizing access, the time of access, and the purpose.

c. Personnel assigned to escort others in AA&E spaces must  
themselves meet the requirements for unescorted entry to those  
spaces, including being on the proper authorized access list.

1114 CUSTODY RECEIPT FOR SMALL ARMS. Individuals receiving  
custody of small arms, weapons, and man-portable hand-launched  
missile systems in ready-to-fire configuration must obtain  
authorization from the commanding officer or his or her  
designated representative and sign a custody receipt listing the  
serial number and type of item received. If the receiver cannot  
provide adequate physical security as outlined in this chapter,  
he or she may check out small arms and related ammunition only  
for immediate needs and must return them to the original  
responsible activity for storage.

1115 RESPONSE FORCE AND READY-FOR-ISSUE (RFI) AA&E STORAGE

a. Each ship will have a response force of at least two  
armed duty personnel responding to attempts to penetrate AA&E  
spaces. The response force must arrive at the AA&E spaces within  
5 minutes of an alarm.

b. The response force will be drilled at a frequency  
prescribed by Fleet or Type Commanders, but as a minimum, within  
1 week after assignment of new personnel to the response force.  
Date, time, and results of response force drills, including  
deficiencies and corrective action taken, will be recorded and  
maintained for at least 1 year.

c. The response force will be trained and qualified with the  
small arms which they carry, as specified in OPNAVINST 3591.1C  
(reference (v)). Training must be documented in each person's  
training folder. Response force members will know response  
priorities by compartment for key areas, weapon systems and  
critical AA&E.

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d. Whenever an intruder is reported at large, the response force will be armed and deploy to the location of the most critical AA&E. Under no circumstance will the response force assist in searches or be assigned additional duties when deployed in such situations.

e. The response force will be trained in the use of deadly force, in accordance with reference (f) or reference (g), as applicable. A statement acknowledging such training will be signed by each member of the response force and filed in each person's training folder.

f. A duress system will be provided for security and duty personnel to call for assistance. Code words or gestures will use common language and motions, and will be changed frequently to preclude discovery.

g. The response force must know duress codes and applicable response procedures, including use of deadly force in connection with duress response.

h. Duty supervisors will conduct periodic, unscheduled visits to all security posts, spaces, and patrols at least once each watch.

i. Before persons are assigned AA&E security related duties they will be screened as delineated in chapter 2.

j. Ready For Issue (RFI) AA&E storage will meet the requirements of chapter 3.

1116 QUARTERDECK SENTRIES. In foreign ports, posted quarterdeck sentries will be armed. However, commanding officers may temporarily waive, on a case-by-case basis, the arming of posted quarterdeck sentries when in foreign ports if in his or her judgement such arming might heighten tension or civil unrest. In such cases, however, the response force will be armed and ready to deploy. Arming of other watch personnel, sentries, guards, or roving patrols will be at the discretion of the commanding officer.

1117 AA&E SURVEYS. Each ship will conduct AA&E security surveys as required in chapter 3 with the difference that surveys will be at least every 6 months and records of the three most recent surveys will be maintained.

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## APPENDIX A

SECURITY RISK CATEGORIES

A100 GENERAL. This appendix lists specific AA&E items in Security Risk Categories I through IV and provides a Decision Logic Table for categorizing ammunition and explosive items not specifically listed (an exception to applying the Decision Logic Table is when there is Tri-service agreement to place an item in a different security risk category than that indicated by the table).

a. Any single container that contains enough parts that, when assembled, will perform the basic function of the end item, will be categorized the same as that end item.

b. Newly developed missiles and rockets similar to those in Category I will be included automatically in that category as they come into the inventory.

## A101 MISSILES AND ROCKETS.

a. Category I. Nonnuclear missiles and rockets in a ready-to-fire configuration, or if jointly stored or transported with the launcher tube and/or gripstock and the explosive round, for example: Hamlet, Redeye, Stinger, Dragon, Javelin, Light Antitank Weapon (LAW) (66mm), shoulder-launched multi-purpose assault weapon (SMAW) rocket (83mm), M136 (AT4) antiarmor launcher and cartridge (84mm).

b. Category II. Missiles and rockets not in a ready-to-fire configuration that are crew-served or require platform-mounted launchers and other equipment to function. Included are rounds of the tube-launched optically tracked weapon (TOW) and Hydra-70.

c. Category III. Missiles and rockets that require platform-mounted launchers and complex hardware and software equipment to function, such as the Hellfire missile.

## A102 ARMS

a. Category II. Light automatic weapons up to and including .50 caliber and 40mm MK 19 machine guns. Note: Marine Corps activities will treat 20mm M242 (Bush Master) chain guns (and similar newly-developed weapons) as Category II arms if they are not mounted on secured vehicles.

b. Category III

(1) Stinger missile launch tube and gripstock.

(2) Hamlet and Redeye missile launch tube, sight assembly, and gripstock.



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- (3) Dragon missile tracker.
- (4) Mortar tubes up to and including 81mm.
- (5) Grenade launchers.
- (6) Rocket and missile launchers, unpacked weight of 100 pounds or less.
- (7) Flame throwers.
- (8) TOW launcher, missile guidance set and optical sight.

c. Category IV

- (1) Nonautomatic shoulder-fired weapons, other than grenade launchers.
- (2) Handguns.
- (3) Recoilless rifles up to and including 106mm.

A103 AMMUNITION AND EXPLOSIVES

a. Category I. Complete explosive rounds for Category I missile and rockets.

b. Category II

- (1) Hand or rifle grenades, high explosive and white phosphorus.
- (2) Mines, antitank or antipersonnel (unpacked weight of 50 pounds or less each).
- (3) Explosives used in demolition, C-4, military dynamite, and TNT with an unpacked weight of 100 pounds or less.
- (4) Warheads for sensitive missiles and rockets weighing less than 50 pounds each.
- (5) The binary intermediates "DF" and "QL" when stored separately from each other and from the binary chemical munition bodies in which they are intended to be employed (see SECNAVINST 5510.29A, (reference (w)), for security requirements for other chemical agents).

Note: Weapon components such as silencers, mufflers, and noise suppression devices will be treated as Category II items.

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c. Category III

(1) Ammunition, .50 caliber and larger, with explosive filled projectile (unpacked weight of 100 pounds or less each)

(2) Incendiary grenades and fuses to high explosive grenades.

(3) Blasting caps.

(4) Supplementary charges.

(5) Bulk explosives.

(6) Detonating cord.

(7) Warheads for sensitive missiles and rockets weighing more than 50 pounds but less than 100 pounds each.

d. Category IV

(1) Ammunition with non-explosive projectile (unpacked weight of 100 pounds or less each).

(2) Fuses, except for paragraph A103c(2).

(3) Grenades (illumination, smoke, and CS).

(4) Incendiary destroyers.

(5) Riot control agents, 100 pound package or less

(6) Ammunition for weapons in section A102 above, not otherwise categorized.

(7) Explosive compounds of sensitive missiles and rockets (except warheads).

(8) Warheads for precision guided munitions (PGM) weighing more than 50 pounds (unpacked weight).

A104 DECISION LOGIC TABLE. This table helps apply physical security risk category codes to ammunition and explosives not already categorized. Rate the ammunition or explosive item in each of the four risk factors listed here, obtaining a number value for each factor. Then add these numbers to determine the appropriate security risk category using the rankings shown here.

<u>Total of Risk Factor Numbers</u>	<u>Physical Security Risk Category Code</u>	<u>Evaluation</u>
4-5	II	High Sensitivity
6-8	III	Moderate Sensitivity
9-12	IV	Low Sensitivity
13-16	--	Nonsensitive

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a. Utility

<u>Numeric Value</u>	<u>Utility</u>	<u>Description</u>
1	High	High explosive, concussion and fragmentation devices.
2	Moderate	Small arms ammunition.
3	Low	Ammunition items not described above--NONLETHAL, civil disturbance chemicals, incendiary devices.
4	Impractical	Practice, inert, or dummy munitions; small electric explosive devices; fuel thickening compound; or items possessing other characteristics which clearly and positively negate potential use by terrorist, criminal, or dissident factions.

b. Casualty/Damage Effect

<u>Numeric Value</u>	<u>Casualty/Damage Effect</u>	<u>Description</u>
1	High	Extremely damaging or lethal to personnel; devices which will probably cause death to personnel or major material damage.
2	Moderate	Moderately damaging or injurious to personnel; devices which could probably cause personnel injury or material damage.
3	Low	Temporarily incapacitating to personnel.
4	None	Flammable items and petroleum based products readily obtainable from commercial sources.

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c. Adaptability

<u>Numeric Value</u>	<u>Adaptability</u>	<u>Description</u>
1	Without Modification	Usable as is; simple to function without use of other components.
2	Slight Modification	Other components required; or can be used with slight modification.
3	Major Modification	Requires the use of other components which are not available on the commercial market; or can be used with modification that changes the configuration.
4	Impractical to modify.	Requires specific functions or environmental sequences which are not readily reproducible, or construction makes it incapable of producing high order detonation; for example, gas generator grains, and impulse cartridges.

d. Portability

<u>Numeric Value</u>	<u>Portability</u>	<u>Description</u>
1	High	Items which easily can be carried by one person and easily concealed.
2	Moderate	An item whose shape, size and weight allows it to be carried by one person for a short distance.
3	Low	Items whose shape, size and weight requires at least two persons to carry.
4	MHE Required	The weight, size and shape of these items preclude movement without MHE.

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## APPENDIX B

PHYSICAL SECURITY STANDARDS FOR COMMERCIAL TERMINALS

If the carrier service  
requested on the  
Government Bill of Lading  
(GBL) is \_\_\_\_\_

Equivalent Terminal Standards are

Satellite Motor  
Surveillance (SM)

Stops must be at a carrier terminal, a state or local safe haven under 49 CFR, or during emergencies, at a DOD safe haven or refuge location. The vehicle or shipment must be under constant surveillance by qualified carrier employees using SM technology, or secured in a lighted area surrounded by a chain link fence at least 6 feet high. Category I and II will be protected by a qualified carrier or terminal representative who checks the shipment at least once every 30 minutes. Other categories will be protected under the standard for Dual Driver Protective Service.

Protective Security  
Service

If the shipment is unloaded from a conveyance, it must be at a facility cleared under the Defense Industrial Security Program or at a DOD safe haven, and be placed under constant surveillance by a qualified carrier representative. As an alternative, the shipment may be placed in a closed area, vault or strong room approved by the Defense Investigative Service. Construction standards for closed areas, vaults and strong rooms are contained in chapter 5, section 8 of DOD 5220.22-M (reference (x)).

Dual Driver Protective  
Service

Stops must be at a carrier terminal, a state or local safe haven under 49 CFR, or during emergencies, at a DOD safe haven or refuge location. A qualified carrier or terminal representative must keep the shipment in unobstructed view at all times and

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stay within 10 feet of the vehicle, or the shipment must be secured in a fenced and lighted area and kept under the general observation of a qualified carrier or terminal representative at all times. As an alternative, the shipment may be placed in a security cage.

DOD Constant Surveillance Service

Stops must be at a carrier terminal, a state or local safe haven under 49 CFR, or during emergencies, at a DOD safe haven or refuge location. A qualified carrier or terminal representative must keep the vehicle or shipment in view at all times and stay within 100 feet of the vehicle, or the shipment must be secured in a fenced and lighted area and kept under the general observation of a qualified carrier or terminal representative at all times. As an alternative, the shipment may be placed in a security cage.

Rail Surveillance Service

Within rail yards, Rail Surveillance Service applies. Within other terminals, shipments must at all times be secured in a fenced and lighted area under the general observation of a qualified carrier or terminal representative.

Signature and Tally Record

Each person accepting custody for shipments moving under STR, including personnel at terminal stops, must sign the signature and tally record or indicate custody by electronic scan immediately upon entering and leaving the terminal.

Security Cage Requirements

Will be in accordance with the requirements identified in chapter 5, section 8, reference (x), for classified SECRET shipments and in Table 34-1, Defense Traffic Management Regulation (reference (r)) for other shipments of AA&E.

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## APPENDIX C

PHYSICAL SECURITY STANDARDS FOR MILITARY TRANSSHIPMENT TERMINALS

C100 GENERAL. This appendix prescribes standards for protecting sensitive conventional AA&E at military transshipment terminals. It also applies to sensitive classified AA&E that meets the requirements of reference (c). For terminals with a separate, long-term storage mission, storage criteria of chapters 4 and 5 of this instruction apply to the long-term storage areas of the terminal.

C101 SECURITY PRIORITIES. Priorities, in descending order, are:

- a. Category I cargo protection;
- b. Pier and waterfront security;
- c. Category II cargo protection;
- d. Gates and perimeter security;
- e. Category III and IV cargo protection; then
- f. Support activity security.

C102 RISK CATEGORY IDENTIFICATION. In order to provide appropriate security protection, terminals will establish procedures to ensure prompt identification of the risk categories of arriving cargo. When cargo, upon arrival, cannot be immediately identified, it will be secured as Category I pending identification.

C103 TEMPORARY STORAGE

a. Category I through IV Cargo

(1) Category I and II cargo will only be stored in fenced and lighted areas dedicated to cargo storage. The fencing and lighting requirements of this instruction apply.

(2) Supplemental Controls. Category I through IV temporary storage areas or individual conveyances will be provided with IDS, CCTV, or constant surveillance. When IDS or CCTV is used, patrol intervals must not exceed 24 hours.

C104 CARGO MOVEMENT

a. Category I and II. Each conveyance or integrated grouping of five or fewer conveyances moved within the terminal will be under continuous surveillance of at least one terminal employee or selected contractor employee under contract to the terminal to handle cargo. Where the terminal area is physically separated from a long-term storage area there will be two drivers for each conveyance. Movements of Category I between the areas will be under continuous surveillance by an armed guard; Category II will be under continuous surveillance by an employee.

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b. Category III and IV. Procedures must ensure Category III and IV cargo will be moved within the terminal under the constant surveillance of terminal or contractor employees. Where the terminal area is physically separated from a long-term storage area, movement between the areas will be under continuous surveillance of at least one terminal employee or selected contractor employee for each conveyance.

## C105 TERMINAL AREA SECURITY

a. Waterfront and Ships at Berth. When ships are at berth, piers will be patrolled by armed guard at irregular intervals not to exceed 30 minutes. IDS may be used at the terminal commander's discretion. When IDS or CCTV is used, patrol frequency may extend to 8 hours.

b. Terminal Gates and Perimeter Areas. See appendix F.

C106 SEALS AND TWISTS. Terminals will install an approved seal (see paragraph 0306h in chapter 3) on all AA&E conveyances on which the original shipper's seal is removed. Additionally, all conveyances will have a No. 5 steel wire twist installed on door openings if the first seal does not provide equivalent protection. Checking seals and twists for evidence of breakage or tampering will be made a part of regular patrol or surveillance procedures and of pier loading procedures. Category I and II seals will be verified by number once each shift.

C107 GUARD COMMUNICATION. Guards will be provided with two-way radios and back-up communication.

C108 TERMINAL ENTRY CONTROLS. Terminals will be closed areas with strict vehicle and pedestrian entry control. All pedestrians or vehicles will be subject to search, and a visitor control system must be established. When feasible, entry to AA&E storage and processing areas will be separately controlled from the terminal administrative areas. Privately-owned vehicles will not be allowed into AA&E storage and processing areas of the terminal without the terminal commander's permission.



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APPENDIX DPHYSICAL SECURITY STANDARDS FOR AA&E AT CONTRACTOR-OWNED FACILITIES

D100

a. Facility Construction. New or existing storage and production facilities of AA&E must be built as specified in chapters 4 and 5 of this instruction and DOD 4145.26-M. Up to 30 arms may be stored in a GSA-approved Class V safe with a built-in Group 1R changeable combination lock. Determination of the suitability of all structures will be provided to the DIS cognizant Security Officer by CNO (N09N)

b. Security Program. The contractor's security program must include lock and key control, fencing, lighting, perimeter access control, IDS, and a security/response force. The contractor must develop written procedures which comply with the physical security standards of this instruction. These procedures must be available at the contractor's facility for review by government representatives.

c. Security/Response Force. Alarm response may be by: (1) a central station security force, (2) a proprietary or subcontracted security force (3) law enforcement officials, or (4) trained, designated employees when no other manner of investigative response is available, subject to DIS approval.

(1) Alarm response must be within 15 minutes.

(2) Security forces dispatched by an alarm monitoring station must wait on the premises for at least 1 hour or until a designated representative of the contractor arrives. If a contractor representative does not arrive within 1 hour, the alarm monitoring station must submit a report of the incident within 24 hours that includes the name of the subscriber facility, the date and time of the alarm, and the name of the contractor's representative who was contracted to respond.

d. Additional Security Measures. Review weapon system production lines before operations to identify potential diversion risks or pilferable items that may require additional physical security measures to prevent theft. Any identified vulnerabilities and implemented physical security measures must be incorporated into the contractor's security procedures and be available for government review. Measures may include:

- (1) intensified entry/exit inspections,
- (2) additional barriers,
- (3) use of metal detectors at exits,

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(4) separation of privately-owned vehicle parking from production, shipping and receiving areas, and trash containers,

(5) CCTV surveillance,

(6) removal of weapons to storage areas, or protection of the production line when it is unattended.

e. Classified AA&E. Contractors manufacturing, storing, transporting, or otherwise holding classified AA&E will be cleared in accordance with reference (x).

f. Intrusion Detection Systems (IDS).

(1) General All material and equipment used in the IDS must meet the criteria prescribed in UL standards for Intrusion Detection Units, UL-639, and be listed with the UL. A list of manufacturers of UL listed IDS equipment can be found in the Automobile, Burglary Protection, and Mechanical Equipment Directory under Intrusion Detection Units (ANSR). Copies of this directory may be obtained from:

Underwriter Laboratories, Inc.  
Publication Stock  
333 Pfingsten Road  
Northbrook, IL 60062

(2) All IDS material and equipment must be installed as delineated in the criteria established for Extent No. 3 in the UL standards for installation and classification of Mercantile Bank Burglar Alarm Systems, UL-681.

(3) Construction, performance, and operation of proprietary alarm system equipment must follow the criteria established for Grade AA and Installation No. 3 in the UL Standards for Proprietary Burglar Alarm Units and Systems, UL-1076. See the UL Automotive, Burglary Protection, and Mechanical Equipment Directory under Proprietary Alarm Systems (CVWX).

(4) The operation of electrical protection circuits and devices that are signaled automatically, recorded in, maintained in, and supervised from a central station with operators and alarm response personnel must be in accordance with the criteria established for Grade AA and Installation No. 3 systems in UL Standards for control-Station, Burglar Alarm System, UL-611. Available UL-certified central control stations can be located in the UL Automotive, Burglary Protection, and Mechanical Equipment Directory Under Central Station (CPVX).

(5) Test IDS monthly and maintain records of tests for the duration of the contract or 1 year (whichever comes first).

D101. Incident Reports. Contractors must report all losses and thefts of Risk Category AA&E to the cognizant DIS industrial

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security office within 72 hours of discovery. Also notify local law enforcement agencies, the FBI, and the Navy contracting authority.

D102. Security Surveys and Inspections. To ensure a prospective contractor will satisfy physical security requirements of this instruction, a preaward security survey should be performed by government personnel. DIS may participate in this survey. Security inspections will be performed by the cognizant DIS security office at 18-month intervals during the the contract period to ensure compliance with this instruction.

D103. Waivers and Exceptions. Requests for waivers or exceptions to security requirements in this instruction must be submitted, in writing, by the contractor to the government procurement contracting officer, who will coordinate the requests with DIS. These requests, with recommendations, will be forwarded to CNO (N09N1) for decision. Waivers are normally granted for 1 year; exceptions for longer periods. Requests must state why the contractor is unable to meet requirements, and outline compensatory or equivalent protection measures proposed to provide comparable security. Also provide details of projects designed to correct waived deficiencies, as well as the expected date of completion. Waivers may be extended, but only after review of the circumstances necessitating an extension, and will state first extension, second extension, etc. Forward to the Commander, Military Traffic Management Command, ATTN: MT-IN, 5611-Columbia Pike, Falls Church, VA. 22041-5050, copies of approved waivers applying to commercial carrier's transportation minimum security standards. Include compensatory measures taken. Copies of approved exceptions will be furnished to the applicable DIS cognizant security officer.

D104. Accountability. The contractor must:

a. Have an accountability system for both explosive components and end items produced under a DON contract, or furnished or released to a contractor by the Navy. Records kept under the system will reflect nomenclature and serial number; amounts produced, shipped, and on hand; and the location of explosive components and end items. Retain accountability records which reflect the disposition of the item for 2 years.

b. Review accountability records and conduct an inventory of AA&E in bulk storage quarterly. The contractor must inventory uncrated items and items in unsealed crates by serial number. Sealed, crated arms will be inventoried by counting sealed crates and containers. At facilities where weapons are tested, inventory daily the weapons drawn from storage for testing purposes.

c. Dispose of residual material per the instructions of the government contracting officer and reference (q).

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D105. Significant Incident Reports. Any robbery or attempted robbery; forced entry or attempted force entry (with physical evidence of the attempt); evidence of terrorist involvement; or illegal trafficking in Risk Category AA&E, will be reported to DIS and CNO (N09N1) within 48 hours as explained in chapter 8 of this instruction.

D106. Arms Parts. Store arms parts as set forth in chapter 4 of this instruction.

DIS INDUSTRIAL SECURITY OFFICES

Director of Industrial  
Security  
Capital Area  
2461 Eisenhower Avenue  
Alexandria, VA 22331-1000  
(703) 325-9634/5 or DSN 221-  
9634/5

Director of Industrial  
Security  
Northeast Region  
Mid-Atlantic Sector  
1040 Kings Highway North  
Cherry Hill, NJ 08034-1908  
(609) 482-6500-or DSN 444-  
4030/1

Director of Industrial  
Security  
Mid-West Region  
610 South Canal Street, Rm 908  
Chicago, IL 60607-4577  
(312) 886-2436

Director of Industrial  
Security  
Northeast Region  
New England Sector  
495 Summer Street  
Boston, MA 02210-2192  
(617) 451-4914/6 or DSN 955-  
4914/6

Director of Industrial  
Security  
Northwest Region  
Presidio of San Francisco  
San Francisco, CA 94129-7700  
(415) 561-3235/6 or DSN 586-  
3235/6

Director of Industrial  
Security  
Pacific Region  
3605 Long Beach Boulevard,  
Suite 405  
Long Beach, CA 90807-4013  
(310) 595-7251

Director of Industrial  
Security  
Southeast Region  
2300 Lake Park Drive, Suite  
250  
Smyrna, GA 30080-7606  
(404) 432-0826 or DSN 697-6785

Director of Industrial  
Security  
Southwest Region  
106 Decker Court, Suite 200  
Irving, TX 75062-2795  
(214) 717-0268

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APPENDIX EPHYSICAL SECURITY STANDARDS FOR RISK CATEGORY AMMUNITION AND  
EXPLOSIVES DURING PRODUCTION AND MANUFACTURING OPERATIONS AT  
GOVERNMENT FACILITIES

The Single Manager for Conventional Ammunition (SMCA) and the Military Services must apply the general requirements of DOD 5100.76-M, Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives, as modified by appendix E of that manual, to the physical security of conventional ammunition and explosives (A&E). Appendix E of DOD 5100.76-M presents requirements that vary because of safety and operational necessities peculiar to A&E production operations. Binary chemical ammunition items are included and unitary toxic chemical ammunition items are excluded from these requirements.

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## APPENDIX F

## SURVEILLANCE REQUIREMENTS FOR AA&amp;E STORAGE

NOTE: Substandard storage is only allowable under preexisting circumstances. Surveillance may be by operational or security personnel, or via CCTV.

<u>Security Risk Category</u>	<u>Storage Location</u>	<u>IDS Status</u>	<u>Physical Checks</u>
CATEGORY I MISSILES AND ROCKETS	All storage locations ashore and afloat.	-Without IDS.	-Constant surveillance. Afloat: each 4 hrs at sea; each hour in port.
		-With IDS.	-Each 24 hrs.
CATEGORY II (HIGH RISK) AMMUNITION AND EXPLOSIVES	Approved storage locations afloat.	-Without IDS but with high security locks/hasps.	-Each 4 hrs.
		-With IDS.	-Each 24 hrs.
	Approved Navy magazines.	-Without IDS.	-Constant surveillance. (R)
		-With IDS.	-Patrol each 24 hrs. (R)
	Temporary storage in open areas, vehicles, inadequately secured structures, aircraft ready service magazines & lockers, rooms, RDT&E test ranges/areas, production buildings.	-Without IDS.	-Constant surveillance by station or security personnel.
		-With IDS.	-Each 8 hrs.
ALL SMALL ARMS (RISK CATEGORIES II THROUGH IV), ASHORE.	All types of storage.	-Without IDS.	-Constant surveillance.

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Security Risk  
CategoryStorage  
LocationIDS StatusPhysical Checks

R)

-With IDS,  
including  
volumetric.-Patrol each 24  
hrs for  
Category II; no  
patrol for  
Category III &  
IV.R)  
R)CATEGORY III  
(MODERATE RISK)  
AMMUNITION AND  
EXPLOSIVES,  
ASHORE.On-station  
reinforced  
concrete  
construction.

-Without IDS.

-With IDS.

- Patrol each  
24 hrs.-No patrol  
required.On-station  
frame  
construction.

-Without IDS.

-With IDS.

-Each 12 hrs.

-Patrol each 24  
hrs.Temporary  
storage in open  
areas,  
railcars,  
vehicles,  
aircraft, etc.

-Without IDS.

-Continuous  
surveillance by  
activity  
personnel  
during  
operating  
hours; one  
patrol per hour  
during non-  
operating  
hours.

-With IDS.

-Each 24 hrs.

Temporary  
storage in  
ready service  
magazines and  
lockers, rooms,  
RDT&E test  
ranges/areas,  
production  
buildings.

-Without IDS.

-With IDS.

-Each 4 hrs  
during non-  
operating  
hours.

-Each 24 hrs.

R)  
R)CATEGORY IV  
(LOW RISK)  
AMMUNITION AND  
EXPLOSIVES,  
ASHORE.On-station  
reinforced  
concrete or  
frame  
construction.

-Without IDS.

-With IDS.

-Patrol each 24  
hrs. and check  
each 48 hrs.-No patrol  
required.Temporary  
storage in open  
areas,  
railcars,  
vehicles,  
aircraft, etc.

-Without IDS.

-With IDS.

-Continuous  
surveillance by  
activity  
personnel  
during  
operating hrs;  
one patrol per  
hour during  
non-operating  
hrs.  
-Each 24 hrs.

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<u>Security Risk Category</u>	<u>Storage Location</u>	<u>IDS Status</u>	<u>Physical Checks</u>
	Temporary storage in ready service magazines and lockers, rooms, production buildings.	-Without IDS.	-Each 24 hours.
		-With IDS.	-24 hour patrol.

TEMPORARY STORAGE IN BARGES AT ANCHORAGE OR AT AMMUNITION PIERS

<u>Security Risk Category</u>	<u>IDS Status</u>	<u>Physical Checks</u>
CATEGORY I (HIGH RISK)	Without IDS.	24 hour armed guard.
	With IDS.	-Each 8 hours.
CATEGORY II (HIGH RISK)	Without IDS.	24 hr surveillance during operating hours. Armed guard during non-operating hours.
	With IDS.	-Each 8 hours.
CATEGORY III (MODERATE RISK and CATEGORY IV (LOW RISK)	Without IDS.	-Physical check each 4 hours (by boat when at anchorage) during operating and non-operating hours.
	With IDS.	-Each 12 hours.



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## APPENDIX G

APPROVED LOCKING DEVICES

Use the latest series of the Military Specifications (MIL-SPEC) shown below. See chapter 3 for approved cable seal locks.

HIGH SECURITY LOCKS (see note (1))

<u>NOMENCLATURE</u>	<u>NSN</u>	<u>MIL-SPEC</u>	<u>NOTES</u>
S&G 833C	5340-01-217-5068	MIL-P-43607	
S&G 831B	5340-01-188-1560	MIL-P-43607	(2)
HI SHEAR LK1200	5340-00-799-8248	MIL-P-43607	(3)
TUFLOC 60-1XR	5340-00-144-7310	(none)	(4)
TUFLOC 60-2XR R.H.	5340-00-144-7311	(none)	(4)
TUFLOC 60-2XR L.H.	5340-00-145-0293	(none)	(4)
TUFLOC 60-3XR	5340-00-144-7359	(none)	(4)
SMILS (MK6 MODS 0,1,& 2)	N/A		(5)
DUAL CONTROL PADLOCK (dual keyed)	N/A	(none)	(6)

HIGH SECURITY HASPS

MK II MOD IX Style 1 (NAPEC)	5340-01-196-2547	MIL-H-29181	(7)
MK II MOD IX Style 2 (NAPEC)	5340-01-235-6907	MIL-H-29181	(8)
1300 SERIES-BASIC	5340-01-281-7938	MIL-H-24653	(1)
1300 SERIES-ACCESSORY	5340-01-282-8275	MIL-H-24653	(9)
NATICK	(various)	(various)	(10)
MK II MOD VIII (NAPEC)	N/A	MIL-H-29181	(11)

## NOTES

- (1) A medium security padlock used with a NAPEC 1300 hasp is acceptable as a high security locking system.
- (2) The S&G 833C is preferred over this model.
- (3) No longer available; replace with S&G 833C. Not approved for shipboard use.
- (4) May be purchased from Defense Industrial Supply Center (DISC) only to replace existing TUFLOCs.
- (5) Shipboard Internal Locking System Module (SMILS) is installed as part of the door, making a hasp unnecessary. Model 0 is dual keyed; Model 1 is dual keyed and has an alarm sensor; Model 2 has a single keyway, no alarm.
- (6) Available from NAVSURFWARCEMDIV (Code 3025) Crane, IN 47522.
- (7) For use on sliding or hinged doors which open on right.
- (8) For use on sliding or hinged doors which open on left.
- (9) These are additional parts needed for styles 3, 5, or 6.
- (10) No new installations authorized. Replace with MARK II MODEL VIII or MARK II MODEL IX as soon as it is possible.
- (11) Older four-piece version for sliding or hinged doors opening on the right (NAPEC 0957) or left (NAPEC 0958).

**5 JUL 1994****AUTHORIZED USES**

- a. All magazines, ready service magazines, ready service lockers, and AA&E storage areas.
- b. All arms storage facilities storing AA&E Security Risk Categories I through IV.
- c. Aboard ships as specified in chapter 11 of this instruction.
- d. Topside lockers containing grenades, demolition material or incendiary rockets.

**MEDIUM SECURITY LOCKS**

**NOMENCLATURE**  
S&G 826D

**NSN**  
5340-00-799-8016

**MIL-SPEC**  
MIL-P-43951

**AUTHORIZED USES**

- a. When used with a NAPEC 1300 hasp, a medium security padlock is acceptable as a high security locking system.
- b. When used with a hasp made of minimum 1/4 inch 300 series stainless steel per MIL-H-43905, a medium security padlock may be used on topside ordnance lockers not used to store high explosive or white phosphorous grenades, demolition material, or incendiary rockets.
- c. May be used when low security padlocks are specified.

Note: The S&G 833C high security padlock is preferred over the medium security padlock and is less costly.

**LOW SECURITY (SECONDARY) LOCKS**

<b><u>DESCRIPTION</u></b>	<b><u>NSN</u></b>	<b><u>COMMERCIAL ITEM DESCRIPTION</u></b>
Padlock without chain, steel case, and shackle	5340-00-158-3805	CID-AA-1927
Padlock with chain, steel case, and shackle	5340-00-158-3807	CID-AA-1927

Note: Most laminated and brass padlocks available from Servmarts, ships stores, and the supply system are low security locks.

**AUTHORIZED USES**

- a. On gates to areas with magazines, in-process/production facilities, or AA&E temporary storage areas.
- b. On arms racks within an armory.
- c. Wherever secondary locks are specified.

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## APPENDIX H

AA&E PHYSICAL SECURITY CHECKLIST FOR FORCES AFLOAT

This checklist is provided as a tool to help afloat commands assess their overall AA&E security posture. Not every requirement in this instruction is addressed; therefore, successful completion of this checklist should not be considered complete compliance with this instruction.

Yes answers indicate compliance. The requirement paragraph number is in parentheses after each question.

1. Does IDS include a continuously manned central control station where alarms annunciate and from which a response force can be dispatched? (0302e)
2. Does the central control station maintain a daily log of all alarms, including the cause, date and time received, location, and action taken? (0302g)
3. Are these logs kept for at least 90 days and reviewed to identify and correct reliability problems? (0302g)
4. Are alarm transmission lines electronically supervised or otherwise protected from undetected tampering? (0302h)
5. Are visible transmission lines inspected periodically? (0302h)
6. Are the IDS sensors tested upon installation and at least quarterly thereafter, and records of the tests maintained for 1 year with dates of the tests, names of persons performing the tests, results, and any action taken to correct deficiencies or malfunctions? (0302m)
7. Are there periodic unannounced openings of alarmed spaces to set off alarms so that reaction of the central control station alarm monitor and the response force can be evaluated? (0302m(2))
8. Are Category I AA&E spaces with IDS secured with high security hasps and locks? (0306a)
9. Is the AA&E Accountability Officer designated in writing? (0602f(2))
10. If AA&E items are kept as souvenirs, decorations, or display items, are they demilitarized and so certified in writing? (0607e)

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11. Is a thorough investigation conducted to determine the circumstances surrounding loss or theft of AA&E, and to fix responsibility where appropriate? (0800a)
12. Is a thorough investigation conducted when a loss attributed to an inventory or accountability discrepancy is noted, to ensure the loss is not due to theft or misappropriation? (0800a)
13. Is information relating to missing, lost, or stolen AA&E submitted to the appropriate investigative agency for inclusion in National Crime Information Center (NCIC) records and to the Navy Registry? (0800b(1))
14. Is information on theft or suspected theft of AA&E submitted to the local NCIS office? (0800b)
15. Do records reflect final disposition of the investigation, to include recoveries and disciplinary action taken (if appropriate), and are these records kept for at least 4 years? (0801c)
16. Are requests for waivers and exceptions thoroughly screened and submitted only when all other avenues for compliance have been exhausted? (1000a)
17. Are all requests for waivers, waiver extensions, and exceptions submitted in the required format, via chain of command, to the applicable approval authority? (1001, 1003, & 1004)
18. Do requests for waivers and exceptions identify compensatory security measures? (1001a(1) and (2))
19. Has a number been assigned to each waiver or exception request? (1002)
20. Are approved waivers and exceptions reviewed for continuing need as well as for compliance with this instruction? (1005a)
21. Is non-government AA&E stored in designated armories or magazines in a manner that will not interfere with any AA&E-related operation? (1100/0207)
22. Are records for privately owned AA&E maintained separately from government AA&E records? (1100/0207)
23. Is loss of privately owned AA&E reported to the Naval Criminal Investigative Service (NCIS)? (1100/0207)
24. Are installed shipboard nonnuclear weapons systems with prepositioned ordnance provided with positive measures to prevent unauthorized tampering, arming, launching, or firing? (1100d)

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25. Do all armories, magazines, and topside ordnance lockers meet Category II storage requirements? (1102)
26. Are Category I AA&E spaces without IDS randomly checked at least once every 4 hours while at sea? (1102)
27. Are Category I AA&E spaces randomly checked at least once each hour while in port? (1102)
28. Are bulkheads to armories and magazines constructed of at least 14 gauge steel (except for ships with aluminum superstructures)? (1103)
29. On ships with aluminum superstructures, are superstructure bulkheads at least 1/8-inch thick? (1103)
30. Are bulkheads to AA&E storage spaces continuously welded? (1103)
31. Are dissimilar metals in AA&E storage space bulkheads fastened with solid core rivets or mechanical fasteners of minimum 1/4-inch diameter? (1103)
32. Are doors to AA&E spaces constructed of or sheathed with at least 14-gauge steel? (1104b)
33. Do armory entry doors have non-removable observation ports? (1104c)
34. Are interior locking devices provided on all armory doors? (1104c)
35. Are interior locking devices placed in the locked position when the armory is manned? (1104c)
36. Is there normal and emergency lighting that will illuminate locking devices for examination during periods of reduced visibility? (1104d)
37. Are spaces in which AA&E is stored, including armories, designated and posted as restricted areas? (1104e and 0308)
38. Are main entrances, other than those opening onto weatherdecks, properly posted with signs reading "RESTRICTED AREA -- KEEP OUT" (or "SECURITY AREA -- KEEP OUT") and "AUTHORIZED PERSONNEL ONLY"? (1104e)
39. Are door hinges to AA&E storage spaces located on the interior of secure spaces or, if outside, provided with hinge security brackets? (1104f)
40. Within armories are small arms stored in required lockers, gun racks, or GSA containers? (1105a)

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41. In armory spaces which also serve as divisional work spaces, are small arms stored in approved arms lockers or GSA containers (no gun racks) and secured with high security locks? (1105a)
42. Are exterior locking devices on emergency escape scuttles and hatches to AA&E spaces removed whenever the spaces are occupied? (1106d)
43. Has the command ensured unauthorized access to AA&E storage areas cannot be gained by way of elevator trunks? (1107a)
44. If "J" doors are installed, are elevators to AA&E storage spaces secured? (1107c)
45. Where "J" doors are installed, are elevator controls located outside the secured space and protected in a manner to preclude unauthorized use? (1107c)
46. Are openings into AA&E spaces of 96 square inches or more protected by 3/8 inch steel bars spaced not more than 4 inches apart, or by six gauge expanded wire mesh? (1108)
47. Are topside ordnance lockers used for storage of high explosive or white phosphorous grenades, demolition material, or incendiary rockets protected with a high security hasp and padlock? (1109e)
48. Are other topside ordnance lockers protected with either a high security locking system or a medium security padlock with a hasp fabricated of minimum 1/4 inch 300 series stainless steel? (1109e)
49. Are keys to AA&E storage spaces kept on at least two separate welded or brazed rings which do not mix keys to arms spaces with keys to ammunition and explosives spaces? (1109g/0307f)
50. Are keys either in the physical possession of authorized personnel or in approved storage? (1109g/0307b)
51. Is master keying of keys to AA&E spaces prohibited? (1109g/0307d)
52. Are AA&E keys stored and protected in the same manner as required for the protection of at least Confidential information? (1109g/0307b)
53. Are persons authorized access to keys of AA&E spaces identified by name on a published list? (1109g/0307c)
54. Is this list kept out of public view? (1109g/0307c)

55. Are lock cylinders replaced immediately when associated keys are lost, misplaced, or stolen? (1109g/0307g)
56. Are spare locks, cylinders, and keys secured to prevent unauthorized access to them? (1109g/0307g)
57. Is the lock and key custodian designated in writing? (1109g/0307a)
58. Is a key control register maintained to ensure accountability of keys? (1109g/0307i)
59. Does the key control register contain all of the required information? (1109g/0307i)
60. Are key control registers retained in ship's files for at least 18 months after the last entry date? (1109g/0307i) (R)
61. Are locks and keys inventoried semianually? (1109g/0307h)
62. Are lock and key inventory records kept for at least 1 year? (1109g/0307h10g)
63. Are keys to racks and lockers for small arms storage in ship's Marine detachment berthing spaces under the control of the detachment commanding officer? (1110a)
64. At RFI AA&E spaces not meeting high security hardware and construction standards, do guards or watchstanders have equipment to summon assistance or to defend themselves? (1110c/0305)
65. Are the contents of RFI AA&E storage areas not meeting high security hardware and construction standards inventoried at each change of watch or guard shift? (1110c/0305)
66. Are RFI AA&E storage areas not meeting high security hardware and construction standards constantly manned? (1110c/0305)
67. Do guards or watchstanders of RFI AA&E storage areas not meeting high security hardware and construction standards have an unobstructed view of the entrance or container? (1110c/0305)
68. Are small arms (including Very pistols unless required at anchorage for drills or actual use) that are stored in ready service racks or boxes while at sea, returned to the ship's armory upon entering port? (1110d)
69. If the ship's ammunition and explosives allowance is stored with LFORM (Landing Force Operational Reserve Material), are the containers marked "ship's allowance?" (1111a)

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70. Are locks to rifle racks in embarked troop berthing areas keyed differently from one another? (1111b)
71. Are a minimum of three keys available for each rifle rack lock? (1111b)
72. To allow for damaged locks and lock rotation for security reasons, do spare lock cylinders equal 10 percent of the total number of locks available? (1111c)
73. If no secure space is available for the storage of any portion of embarked troops' AA&E, is it stored in metal containers in a designated restricted area under 24-hour armed guard? (1111f)
74. Are there monthly physical count inventories and quarterly inventories by serial number of all arms aboard? (1112/0601b(3)(a)1)
75. Are inventories of arms and Category I items conducted upon relief of the commanding officer or responsible department head? (1112a)
76. Is a training program conducted for personnel with AA&E duties, covering the particular procedures of AA&E accountability which relate to each person's work? (1112a/0602f(1))
77. Does the training program include, as applicable, the following:
  - a. Inventory and accountability procedures, including instructions for completing required documentation;
  - b. Reporting requirements;
  - c. Physical security requirements;
  - d. Identification of persons and billet titles with AA&E responsibilities;
  - e. AA&E shipment accountability procedures;
  - f. Explanation of disciplinary actions taken as a result of breaches of AA&E regulations, accountability procedures, or security;
  - g. A program emphasizing the individual's responsibility for the control and safeguarding of AA&E; and
  - h. Instruction on the use of deadly force? (1112a/0602f(1))



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78. Is the AA&E accountability officer charged with all of the required responsibilities? (1112a/0602f(2))
79. Are records of monthly and quarterly inventories kept for 2 years (those with unreconciled discrepancies for at least 4 years)? (1112a/0601b(3)(a)1)
80. Are Risk Category II, III, and IV ammunition and explosives inventories performed annually and the records kept for at least 2 years? (1112a/0602e)
81. Are AA&E inventories made available for review during scheduled assistance visits and command inspections? (1112a/0604)
82. Are requisitions for AA&E signed by the AA&E accountability officer, weapons officer, or armorer (as applicable) before processing off of the ship? (1112a/0605)
83. Is accountability documentation for all inventory adjustments, including applicable MLSR reports, retained for at least 2 years? (1112a/0606)
84. Does the ship maintain a current inventory of all AA&E on board? (1112b)
85. Is unescorted entry to AA&E storage spaces limited to those needed for essential operations? (1113a)
86. Is the access list to arms and Category I signed by the commanding officer? (1113a)
87. Are persons granted entry to AA&E spaces identified in the access log, with the required information? (1113b)
88. Do persons with escort duties in AA&E spaces meet the requirements for unescorted entry, including being on the appropriate access list? (1113c)
89. Is subcustody of small arms, weapons, and man-portable hand-launched missile systems recorded using a signature receipt with weapons serial numbers? (1114)
90. Is a response force of at least two duty personnel capable of responding armed within 5 minutes of the sounding of the alarm? (1115a)
91. Is the response force drilled within 1 week of assignment of new personnel? (1115b)
92. Are records which provide date, time, and results (including deficiencies) of all response force drills kept for 1 year? (1115b)

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## APPENDIX I

AA&E PHYSICAL SECURITY CHECKLIST FOR FORCES ASHORE

This checklist is a tool to help shore commands assess their overall AA&E security posture. Not every requirement in this instruction is addressed; therefore, successful completion of this checklist should not be considered compliance with this instruction. Note: Item #107 does not apply to Marine Corps units.

Yes answers indicate compliance. The requirement paragraph number is in parentheses after each question.

1. Is the storage of AA&E consolidated as much as possible, consistent with operational, safety, and training requirements? (0200b)
2. Is the quantity of AA&E removed from secure storage as small as practical to support specific missions or projects? (0200b(1))
3. Are persons with AA&E security-related duties screened to ensure they have records indicating maturity, good judgment, trustworthiness, and a positive attitude toward the Navy and national security? (0206/0303p)
4. Are persons with AA&E security-related duties rescreened annually? (0206/0303p)
5. Are dates of screening, rescreening, and associated interviews entered in the persons's training record and kept for at least 6 months after termination of his or her assignment? (0206/0303p)
6. Is non-government AA&E stored in designated armories or magazines and in a manner which will not interfere with government AA&E related operations? (0207)
7. Is privately owned AA&E stored in separate containers from government AA&E? (0207)
8. Is loss of privately owned AA&E reported to the Naval Criminal Investigative Service (NCIS)? (0207)
9. Do security patrols increase security checks during civil unrest, natural disasters, or other emergencies? (0301b)
10. Do contingency plans, confrontation management instructions, and disaster preparedness plans include additional security protection for AA&E? (0301b)

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11. Are all IDS components installed, calibrated, and maintained to manufacturer's specification, unless otherwise specified in writing by NISE East? (0302l)
12. Does the IDS include a continuously-manned control station where alarms sound and from which a response force can be dispatched? (0302d)
13. When IDS is used in civilian communities, have arrangements been made to connect alarms to civil law enforcement headquarters, campus police headquarters, private security companies, or a monitoring service from which immediate response can be directed? (0302e)
14. Does the control station maintain a daily log of all alarms, including all the required information? (0302f)
15. Are these logs kept for at least 90 days and reviewed to identify and correct IDS reliability problems? (0302f)
16. Are alarm transmission lines electronically supervised or otherwise protected from undetected tampering? (0302g)
17. Are visible transmission lines inspected periodically? (0302g)
18. Is a backup independent power source of 4 hours minimum duration provided for IDS protecting AA&E? (0302i)
19. Does the command ensure trustworthy personnel are used to maintain IDS, or else escorted? (0302h)
20. Are IDS systems tested upon installation and at least quarterly thereafter, and records of the tests kept for 1 year with dates, names of persons performing the tests, results, and any action taken to correct deficiencies? (0302l)
21. Are there periodic unannounced openings of alarmed spaces to evaluate reactions of the control station alarm monitor and the security force? (0302l)
22. Are entry doors of all armories and facilities which have IDS and which store Category I and II ammunition and explosives equipped with an AIB? (0302m)
23. Are guard checks of AA&E facilities conducted on an irregular basis? (0303b)
24. Are inspections and guard checks increased at night? (0303c)
25. Are all guard checks recorded, and do they consist of an inspection of the building or facility including all doors and windows? (0303d)

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26. Are locks on buildings physically checked and attempts made to open doors? (0303d)
27. Are records of building checks maintained for 90 days? (0303d)
28. Are guard procedures reviewed at least semiannually and revised when necessary, with emphasis on guard post placement and guard orientation? (0303e)
29. Are law enforcement patrol plans coordinated with security plans? (0303f)
30. Is an armed response force able to respond to AA&E storage areas within 15 minutes of an alarm? (0303h)
31. Do security patrols at NROTC/NJROTC and Naval Reserve units have the means to call for help immediately? (0303h)
32. Is the security force drilled at least semiannually in their response to threats to AA&E storage areas? (0303j)
33. Are dates, times, and results of security force drills, including deficiencies and corrective action, recorded and kept for 1 year? (0303j)
34. Is the security force trained and qualified with their weapons, and do they know response priorities for key areas and critical AA&E? (0303k)
35. Is small arms training documented in each person's training folder? (0303k)
36. Is the security force trained in the authorized use of deadly force? (0303l)
37. Is a statement acknowledging deadly force training signed by each member of the security force and filed in their training folder? (0303k)
38. Does the security force know duress procedures? (0303m)
39. Do duress code words or gestures use common language or motions, and are they changed frequently? (0303m)
40. Do duty supervisors conduct periodic unscheduled visits to all security posts, spaces, and patrols? (0303n)
41. Is a reliable radio and at least one other back-up means of communication available at AA&E storage sites? (0303q)
42. Is security lighting provided for all armories and category I and II A&E storage magazines? (0304)

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43. Is the light bright enough to allow adequate observation by guards at night? (0304)
44. Are switches to security lights inaccessible to unauthorized persons? (0304)
45. Are RFI AA&E spaces which do not meet high security hardware and construction standards constantly manned by armed guards or watchstanders with communication equipment? (0305)
46. Are the contents of RFI AA&E storage areas (if they don't meet high security hardware and construction standards) inventoried at each change of watch or guard shift? (0305)
47. Are entrance doors to arms storage facilities equipped with high security locking systems? (0306a)
48. Has security protection been established for arms stored on Navy vehicles, aircraft, and small craft? (0306b/0403)
49. Do doors other than entrance doors have interior locking devices or bars which secure the space when unmanned? (0306c)
50. Are damaged or malfunctioning locks and requests for cylinder and key replacements sent to Commanding Officer, Naval Surface Warfare Center Division, Crane? (0306e)
51. Are keys either in the physical possession of authorized personnel or in approved storage? (0307b)
52. Is master keying of keys to AA&E spaces prohibited? (0307d)
53. Are persons authorized access to keys of AA&E spaces identified on a published list? (0307c)
54. Are access lists kept out of public view? (0307c)
55. Are cores to locks replaced immediately when associated keys are lost, misplaced, or stolen? (0307g)
56. Are replacement or spare locks, cores, and keys secured to prevent unauthorized access to them? (0307g)
57. Is the lock and key custodian designated in writing? (0307a)
58. Is a key control register containing all required information maintained to ensure accountability of keys? (0307i)
59. Are key control registers kept for at least 3 months after the last entry date? (0307i)

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60. Are locks and keys inventoried semiannually? (0307h)
61. Are inventory records for locks and keys kept for a least 1 year? (0307h)
62. Is a complete inventory of contents conducted whenever seals on AA&E key containers are found broken? (0307j)
63. Are risk category storage areas designated restricted areas in the activity security plan and posted accordingly? (0308)
64. Are AA&E security surveys conducted yearly? (0309)
65. Are records of the three most recent surveys kept for review during assistance visits and command inspections? (0309)
66. Do walls, ceilings, and floors of arms storage facilities meet structural requirements? (0401a)
67. Do arms storage facility doors meet structural requirements? (0401b)
68. Are door bucks, frames, and keepers rigidly anchored and provided with antispread space filler reinforcement to prevent disengagement of the lock bolt by prying or jacking of the door frame? (0401b(1))
69. Are frames and locks for both interior and exterior doors designed and installed to prevent removal of the frame facing or the built-in locking mechanism sufficiently to disengage the lock bolt from outside of the secure room when the door is closed and locked? (0401b(1))
70. Are hinges of the fixed pin security type or equivalent and, where possible, located on the inside? (0401b(3))
71. Are exterior doors with exposed hinges provided with appropriate devices to prevent opening of the door by removal of the hinge pin or destruction of the exposed portion of the hinge? (0401b(4))
72. Are armory windows, ducts, vents, or other openings 96 square inches or more with the least dimension greater than 6 inches sealed with material comparable to the adjacent walls? (0401c)
73. Within armories, are arms stored in safes, banded crates, containers, or arms racks which meet requirements? (0401d)
74. Are arms racks or containers locked with at least low security padlocks? (0401d(1))

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75. In facilities not continuously manned, are rifle racks and containers weighing less than 500 pounds securely fastened to the structure or fastened together in groups weighing more than 500 pounds? (0401d(1))
76. Are bolts which secure racks spot welded, peened, or otherwise secured to prevent easy removal? (0401d(1))
77. Do chains which secure arms racks meet the requirements of this instruction? (0401d(1))
78. Do arms racks prevent removal of a weapon by disassembly? (0401d(2))
79. Are Category I and II AA&E storage facilities which are not protected by IDS continuously manned or under constant surveillance? (0401e and 0501a)
80. At activities not on a military installation, are bolts to automatic weapons removed and secured in separate buildings when:
  - a. Facility does not meet structural requirements for the risk category of AA&E stored there;
  - b. A threat is received;
  - c. IDS is inoperative for 24 hours or more;
  - d. Arms are left in the facility during periods of annual field training; or
  - e. Desired by the commanding officer? (0401g)
81. When bolts are removed, are they tagged (etching is prohibited) with the individual weapon's serial number to ensure return of the bolt to the same weapon? (0401g)
82. Are major arms parts, at a minimum, stored and protected as Category IV arms? (0404)
83. Are single containers which contain enough arms parts to perform the basic function of the end item categorized and safeguarded as is the end item itself? (0404)
84. Is unescorted entry to AA&E storage spaces limited to those persons required for essential operations? (0405/0503b)
85. Are all magazines storing risk category AA&E constructed in accordance with applicable construction requirements? (0501)
86. Are Category I and II ammunition and explosives storage areas surrounded by fencing? (0502)

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87. Are fence posts, braces, and other structural members located inside of the fence fabric? (0502/OPNAVINST 5530.14B)
88. Is fence height at least 6 feet (7 feet for new fence)? (0502a)
89. Is the bottom of the fence fabric within 2 inches of firm ground? (0502/OPNAVINST 5530.14B)
90. Are concrete footings, gravel, or other measures used to compensate for shifting soil which leaves openings beneath fences? (0502/OPNAVINST 5530.14B)
91. Does the fence contain the fewest number of vehicle and pedestrian gates necessary? (0502d)
92. Are the gates as structurally resistant to penetration as the adjacent fence? (0502/OPNAVINST 5530.14B)
93. When not manned, are gates secured with a low security padlock, with hinge pins and mounting hardware welded or otherwise secured to prevent easy removal? (0502d/OPNAVINST 5530.14B)
94. Are drainage and water passages under the fence barred to provide protection equivalent to the fence itself? (0502/OPNAVINST 5530.14B)
95. Do clear zones extend 20 feet outside and 30 feet inside the perimeter fence? (0502/OPNAVINST 5530.14B)
96. Are clear zones free of obstacles, topographical features, and vegetation exceeding 8 inches in height? (0502/OPNAVINST 5530.14B)
97. Are topographical features and vegetation which are retained in clear zones (for erosion control, passive defense, or legal reasons) trimmed, or checked by security patrols at irregular intervals? (0502/OPNAVINST 5530.14B)
98. Is hunting and fishing properly controlled and other forms of recreation prohibited within A&E restricted areas? (0503)
99. Do guards perform routine, random inspections or searches of vehicles entering, within, or departing the restricted area? (0503a)
100. Is a pass, badge, entry roster, or sign-in/out system used for restricted areas? (0503)
101. Are entry rosters or sign-in/out sheets kept for at least 90 days? (0503)



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102. Do persons with escort duties in AA&E spaces meet the requirements for unescorted entry, including being on the appropriate access list? (0503b(2))
103. Does the activity maintain a current inventory of all AA&E? (chapter 6)
104. Are records of continuous accountability maintained for man-portable hand-launched missile systems? (0600a)
105. Does the command perform physical count inventories and inventories by serial number of all arms at the proper time periods? (0601b(3)(a)1 or 2)
106. Are records of these inventories kept for 2 years? (0601b(3)(a)1 or 2)
107. Are records of AA&E inventories with discrepancies that cannot be reconciled kept for at least 4 years? (Does not apply to Marine Corps units) (0601b(3)(a)1)
108. Are Risk Category II, III, and IV ammunition and explosives inventories performed annually and records kept for at least 2 years? (0602e)
109. Is a training program conducted for personnel with AA&E duties, covering the particular procedures of AA&E accountability which relate to each person's work? (0602f(1))
110. Does the training program include, as applicable, the following:
  - a. Inventory and accountability procedures, including instructions for completing required documentation;
  - b. Reporting requirements;
  - c. Physical security requirements;
  - d. Identification of persons and billet titles with AA&E responsibilities;
  - e. AA&E shipment accountability procedures;
  - f. Explanation of disciplinary actions resulting from breaches of AA&E regulations, accountability procedures, or security;
  - g. A program emphasizing the individual's responsibility for the control and safeguarding of AA&E; and
  - h. Instruction on use of deadly force? (0602f(1))

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- 111. Is the AA&E Accountability Officer designated in writing?  
(0602f(2))
- 112. Is the AA&E Accountability Officer charged with these responsibilities:
  - a. Assisting the Security Officer, NCIS agents, auditors or others investigating AA&E losses;
  - b. Reporting the status of the command's compliance with accountability controls, AA&E inventory versus allowance, and AA&E requisition status to the commanding officer routinely;
  - c. Keeping copies of these reports for at least 2 years; and
  - d. Monitoring performance and reporting of all AA&E inventories and MLSR reports?  
(0602f(2))
- 113. Are requisitions for AA&E signed by the AA&E Accountability Officer, Weapons Officer, or Armorer (as applicable) before processing out of the command? (0605)
- 114. Is accountability documentation for all inventory adjustments, including applicable MLSR reports, kept for at least 2 years? (0606)
- 115. Are AA&E items which are kept as souvenirs, decorations, or display items demilitarized and so certified in writing?  
(0607e)
- 116. If applicable, are there procedures to increase protection of AA&E in transit during periods of increased vulnerability? (0702k)
- 117. Are arms and ammunition of the same caliber shipped off-station in separate containers or conveyances? (0702c)
- 118. Is the security provided for AA&E in transit commensurate with the security risk category? (0702)
- 119. Is the installation prepared to provide safe haven to commercial carriers transporting government AA&E in the event of civil unrest, natural disaster, or other emergencies? (0713c)
- 120. Are safe haven procedures in accord with NAVSUPINST 4600.70/MCO P4600.14B and NAVSEA OP 2165, vol. 1? (0713c)
- 121. Are AA&E in vehicles or staged in the open either secured or attended when outside of restricted areas? (0716)

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122. Is AA&E which has been removed from secure storage not left overnight or during weekends in conveyances outside of a restricted area? (0716)
123. Is a thorough investigation conducted to determine the circumstances surrounding loss or theft of AA&E, and to fix responsibility where appropriate? (0800a)
124. Is a thorough investigation conducted when a loss attributed to an inventory or accountability discrepancy is noted, to ensure the loss is not caused by theft or misappropriation? (0800a)
125. Is information relating to missing, lost, or stolen AA&E submitted to the local NCIS office for inclusion in National Crime Information Center (NCIC) records and to the Navy Registry? (0800b)
126. Do records reflect final disposition of investigative action, to include recoveries and disciplinary action taken (if appropriate), and are the records kept for at least 4 years? (0801c)
127. Are requests for waivers and exceptions thoroughly screened, and submitted only when all other avenues for compliance have been exhausted? (1000a)
128. Do requests for waivers and exceptions identify compensatory security measures? (1001a(1) and (2))
129. Are all requests for waivers, waiver extensions, and exceptions submitted in the required format via the chain of command to the appropriate approval authority? (1001/1003/1004)
130. Has an appropriate waiver or exception number been assigned to each request? (1002)
131. Are approved waivers and exceptions reviewed for continuing need as well as for compliance with this instruction? (1005)
132. Are Category I storage spaces with IDS protection checked by security patrols irregularly at least every 24 hours? (appendix F)
133. Are Category I storage areas not meeting construction criteria or not protected by IDS, constantly manned or kept under constant surveillance? (0401i/0501c/appendix F)
134. Are arms storage spaces or containers which are protected by IDS checked by security patrols irregularly at least every 24 hours? (appendix F)

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135. Are arms in storage spaces with IDS checked by security patrols irregularly at least every 24 hours? (appendix F)
136. Are Category II ammunition and explosives approved storage spaces with IDS protection checked by security patrols irregularly at least every 24 hours? (appendix F)
137. Are Category II ammunition and explosives in substandard storage spaces checked by security patrols irregularly at least every 8 hours? (appendix F)